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**FROM THEORY TO PRACTICE: A MULTIPLE CASE STUDY ON NOVICE
ADMINISTRATORS**

by

David T. Hobbs

B.A., Colgate University, 2000

M. Ed., The University of Montana, 2003

Presented in partial fulfillment of the requirements

for the degree of

Doctor of Education

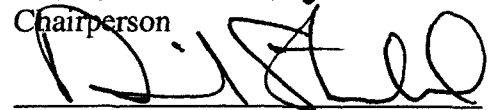
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Hobbs, David T. Ed. D. May 2005
Educational Leadership

From Theory to Practice: A Multiple Case Study on Novice Administrators

Chair Person: William P. McCaw, Ed. D. *WPM*

The purpose of this qualitative, multiple case study was to observe, analyze, and interpret the transition from the theoretical understanding of leadership to its application in the private, parochial administrative work environment. Using three purposefully selected novice principals, the research utilized semi-structured interviews, document analysis, daily observation and incident debriefing sessions to gain insight into this process of transformation.

The central question of this research project was how do novice administrators recognize and utilize leadership theory in their daily practice? Four sub-questions were explored in order to support and frame the central question. 1. What contextual pressures are associated with the recognition and utilization of leadership theory in daily practice? 2. What personal characteristics are associated with the recognition and utilization of leadership theory in daily practice? 3. What transformations, if any, take place as the novice administrator moves from theoretical preparation to daily practice? 4. What is the association between the administrator's perception of their actions, and the perceptions of professional associates?

Thematic coding was used to analyze the various data sources, and the final analysis included both within and cross-case thematic development. Themes that emerged across cases involved issues of context, a conception of socio-political realities of school leadership, instructional leadership, and transformational leadership.

Findings depicted the novice administrator in a disadvantageous position. Often making up for the mistakes of previous administrators and faculty distrust, they were able to reflect on leadership theory, but were limited in their ability to implement long term visionary change strategies. As a result, all administrators regarded themselves as in a position of service to the faculty. The manifestation of this role included foci on task completion and a role of support with regard to instruction. All administrators had high aspirations for the development of trusting relationships among the staff, and the ability to realize a shared vision with time.

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Chapter 1

Statement of the Problem

Introduction

School administration has traditionally been a profession characterized by ambiguity. The residual structure of bureaucracy within schools has contrasted greatly with recent attempts to acculturate participative leadership (Blase & Blase, 1999; Fullan, 1993; Goodman et al., 1988; Yukl, 1998), also referred to as “consultation,” “joint-decision making,” “power sharing,” “decentralization,” “site-based management,” and “democratic management” (Yukl, 1998). Though these terms differ slightly in meaning, their intention is the same: to provide “a greater level of participation by those inside and outside the system” (Sorenson & Evans, 2001, p. 184). As a result, the leadership practices of working principals have spread the gamut between autocratic and democratic (Heller & Yukl, 1969; Strauss, 1977; Tannenbaum & Schmidt, 1958; Vroom & Yetton, 1973; Yukl, 1998).

The bureaucratic model still dominates the structure of the school today (Blase & Blase, 1999). One can step into virtually any school and witness rank and file designations in terms of job descriptions, participation, pay scales, and leadership responsibilities. Bureaucratic leadership revolves around caveats of hierarchical structure, division of labor, control by the rules, impersonal relationships, and career orientation (Weber, 1964). As the educational leader in possession of expert, reward, and coercive power structures (French & Raven, 1959), the principal supervises and leads teachers according to school policy. In fact, Gordon (1997) asserts that “control supervision still dominates professional practice” (p. 117). Formal authority is held by the building

administrator, who is expected to issue top-down commands for his /her subordinates to obey. Consequently, the responsibility for the success of this leadership rests with the administrator as well.

Though school structure lends itself to a bureaucratic perspective, an inherent reality of socio-political systems within the organization has been defined through years of research (Etzioni, 1961; Hanson, 2003; Loomis, 1960; Mayo, 1933; Morgan, 1986; Parsons & Shils, 1951; Porter, Lawler & Hackman, 1983). These theories contend that a myriad of social interactions based on group needs, organizational culture, and “non-rational behavior” (Gouldner, 1959) are at work behind the scenes of the rational, bureaucratic organization. Hanson (2003) articulates five key characteristics of a social system: (a) a plurality of actors, (b) interaction, (c) a goal, (d) patterned behavior, and (e) a duration or time dimension (p. 51). In this perspective, schools become less dependent on their bureaucratic and rational roots, and evocative of a dynamic socio-political “web of interaction” (Wheatley, 1997, p. 18). Given the reality of informal organizational roles in a social system, principals must be ever cognizant of their place in the social structure. As a result, school leaders have embraced more democratic and participative leadership strategies, manifested by pseudo-structural changes in leadership style (Bennis, 1959; Bradford & Cohen, 1984; Kouzes & Posner, 1987; Strauss, 1977; Vroom & Yetton, 1973).

Compounding the already severe demands on many school administrators in their roles as both managers and leaders is the impact of a changing political role. With accountability, of course, has come an impetus for administrators to hold their responsibility for top-down leadership more closely. After all, “it is the principal who is

held responsible and accountable, to the point of being fired, when improvements do not occur as envisioned” (Ford, 1992, p. 15). Principals have, in effect, been placed in a situation of conflicting ideals. While contemporary scholars and theories continue to convey credence in the efficacy of participatory leadership, the structural demands on the building administrator have provided strong incentives for an autocratic posture.

Increased accountability and the provision of choice have also contributed to changing administrative roles. These pressures have shifted the education system from its “domesticity,” characterized by abundance of supply monopolistic market control, into a “wild” and competitive environment, marked by unsecured supply and increased expectations (Carlson, 1965). Considering this shift and the subsequent responsibilities placed on the building administrator, the practice of participative leadership seems to be increasingly difficult to carry out in sincerity (Schmidt et al., 1998a; 1998b; Yukl, 1998). Factors such as increased responsibility for decisions (Ford, 1992; Jennings, 2003), time constraints (Whitaker, 1998), and lack of trust in subordinates (Ashour & England, 1972; Leana, 1986; Yukl & Fu, 1999) all play a role in a principal’s autocratic posture toward their school-based leadership strategy.

Another factor at play within this context is the increase in administrative turnover at both state and national levels (Colvin, 2000; Gates et al., 2003; Mathews, 2004; Steinberg, 2000; US Department of Education, 2004; Whitaker, 1998). Patterson and Patterson (2004) make note of this trend, Asserting “because of administrator burnout, retirement, and mobility, many schools will meet these challenges with a new principal at the helm, the latest in a series of short-term administrators” (p. 74). Many of these newer administrators have been forced to choose between a posture of relationship

development and participatory interaction, and a pragmatic reality in which their careers may be on the line.

Decades of research have laid a foundation supporting the dual roles of school administrators: the rational/bureaucratic manager and the non-rational/social leader (Argyris, 1957; Barnard, 1938; Likert, 1961; Getzels, Lipham & Campbell, 1968; Bass, 1960; Brown, 1967; Feidler, 1964), some might wonder what this ambiguity means for schools. Does the role that a principal plays in a given situation make a difference in terms of teacher satisfaction or student achievement? In other words, "Do principals make a difference?" (Leithwood & Hallinger, 1994).

According to many contemporary researchers, the answer to this question is a resounding yes (Bass, 1960; Burns, 1978; Edmonds, 1984; Feidler, 1967; Glickman, Gordon & Ross-Gordon, 2001; Leithwood & Hallinger, 1994; Marks & Printy, 2003). Contemporary leadership theory as manifested by adult learning and motivational theories (Herzberg, Mausner & Snyderman, 1959; Maslow, 1954), contingency models of leadership (Feidler, 1964, 1967), instructional leadership (Iannaccone, 1971; Schein, 1999), and transformational leadership (Burns, 1978; Sergiovanni, 1989; Leithwood, 1994) portray the educational leader not only as the "leader of leaders" (Glickman, Gordon & Ross-Gordon, 2001), but also as a vehicle for the transmittal of organizational culture (Schein, 1999). In other words, he/she is "the keeper of the covenant" (Sergiovanni, 1989).

Newer degree-holding administrators enter schools possessing these theoretical leadership perspectives, research-based practices, and an understanding of the aims and intentions behind them. However, the reality of the profession is often in conflict with the

theory of preparation (Portin, 2004). Administrators are often confounded by the pressing daily needs of the school, and consequently forced to focus their attention on urgent, rather than important matters. Obviously, this shift in perspective is manifested in the long-term leadership strategies of the building administrator. While some scholars assert that “there is more work to do in aligning the design of [preparation] programs with the reality of the principal’s job” (Portin, 2004, p. 18), and others focus on providing “time for aspiring administrators to work side by side with creative, energetic, bright principals during the school day” (Cunningham, 2002, p. 37), ultimately solutions will arise from a deeper understanding of the transition process from the university setting to the often complex and chaotic workplace environment (Leithwood & Riehl, 2003).

This study has at its heart a genuine concern for the changing role of novice administrator in the 21st century. While many authors have analyzed contingent styles of leadership (Heller & Yukl, 1969; Strauss, 1977; Tannenbaum & Schmidt, 1958; Vroom & Yetton, 1973; Yukl, 1998), few have attempted a qualitative inquiry into the reasons why principals utilize various practices in terms of both theoretical foundations and socio-political realities. Day (2000) submits that “fewer [studies] still have sought educated opinions from those who know the most about the heads and who have experienced the realities of their leadership in times of change—such as students, staff, governors, and parents” (p. 56). By understanding these qualitative elements of this ultimately social profession, an attempt can be made to further link theory and practice for the betterment of school leadership.

Purpose

The purpose of this qualitative multiple case study was to understand the utilization of leadership theory as it relates to real-life leadership strategies of novice administrators. This study sought to gain an insight into the daily pressures, demands, and contextual factors involved in the practice of school administration, and how these factors related to grounded theoretical leadership strategies as well as specific and contextual actions.

Significance of the Study

The benefits of this study rest in three specific areas: benefit to the novice administrator as a reflective practitioner, benefit to the private K-12 school environment, and benefit to higher education preparation programs.

The first years of administrative service in the public school arena have been marked by feelings of anxiety, frustration, and self doubt (Daresh & Playko, 1989). These feelings have contributed to a survival mode mentality in which the novice administrator reverts to bureaucratic structure and authoritarian leadership rather than participatory leadership models (Schmidt et al., 1998a; 1998b). By offering novice administrators a chance to step back from their daily interactions and routines, and furthermore providing a platform by which they can reflect on these contextual interactions and decisions, this study offers a vehicle by which novice administrators may come to terms with their use of theoretical models as reflective practitioners.

In addition to the personal benefits that this study provided to its subjects, it also has the capacity to improve administrative induction methods for school systems in a larger context. By opening a window into the recognition and utilization of theoretical

preparation of novice administrators, schools may be able to more accurately come to terms with the reality of their novice administrator's position. These insights can give schools the impetus to develop improved mentoring processes, professional development resources, and opportunities for professional reflection focusing on newer administrators.

Lastly, this study has potential for the improvement of administrative training programs. Past studies involving preparation programs have called for intense, meaningful internships, planned field experiences, and other forms of practica (Daresh, 1988). At the heart of these arguments lies the desire that these programs more closely resemble the actual working environment. Developing this idea further, this study looked to understand the ways by which the novice administrator comes to terms with the reality of his/her new position through the lens of theoretical leadership models. Understanding the extent to which novice administrators recognize and utilize their theoretical preparation in everyday action is critical to the development and success of any administrative preparation program.

Research Questions

Research proceeded by introducing one overarching, central question, followed by several sub questions. It was important that these questions were non-directional, stated the purpose of the study in more specific terms, and used words such as "what" or "how," rather than "why" (Creswell, 1998). The sub questions, taken in their entirety, attempted to address the central question more fully.

Central Question

How do novice administrators recognize and utilize leadership theory in their daily practice?

Sub-Questions

1. What contextual pressures are associated with the recognition and utilization of leadership theory in daily practice?
2. What personal characteristics are associated with the recognition and utilization of leadership theory in daily practice?
3. What transformations, if any, take place as the novice administrator moves from theoretical preparation to daily practice?
4. What is the association between administrators' perceptions of their actions, and the perceptions of professional associates?

Limitations

For the purposes of this research, limitations were defined as: "An aspect of a study that the researcher knows may negatively affect the results of generalizability of the results, but over which the researcher has no control" (Gay & Airasian, 2000, p. 588). All research paradigms, whether qualitative or quantitative, have certain inherent strengths and limitations; consequently, a considerable amount of care was taken on the part of the researcher to note the specific benefits and drawbacks of the case study tradition as it relates to methodology, the role of the researcher, and the role of subjects within the research.

First, it must be noted that while case studies are very effective ways to represent the complexity of real-life situations, they are ultimately processed artifacts. As Guba and Lincoln note, "they tend to masquerade as a whole, when in fact they are but a part—a slice of life" (1981, p. 377). As a result, "case studies can oversimplify or exaggerate a situation, leading the readers to erroneous conclusions about the actual state of affairs"

(Guba & Lincoln, 1981, p. 377). This research approached its bounded system with this requisite understanding. Though there was no attempt to generalize to other cases, the benefits of this research laid in the fact that it provided a model by which to approach future and/or past real-life situations. Eisner (1998) refers to this as “retrospective generalizability,” or “encountering or formulating an idea that allows us to see our past experience in a new light” (p. 205).

Another limitation to the case study with regard to research methodology is that oftentimes the product is too substantial for many to fully consume. Case studies have a tendency to be “too lengthy, too detailed, or too involved for busy policymakers and educators to read and use” (Merriam, 1988, p. 33). While proposed research intended to be a comprehensive treatment of its “bounded system” (Stake, 1995), the benefits will also be reaped in the realm of academia and higher education training programs. In this specific setting, the value of the case study laid not only in its comprehensive treatment of the case, but in the systematic approach and explicit method by which the researcher approached the subject.

Many have critiqued the qualitative paradigm by citing small sample sizes and purposeful sampling methods (Creswell, 1998) as limitations to generalizability. However, the benefits of qualitative research do not lie in the traditional idea of generalization: making the leap from sample findings to a generalization about the population. Rather, qualitative research is interested in understanding the nature of human processes. As Merriam states, “qualitative researchers are primarily concerned with process rather than outcomes or products. How do certain things happen?” (1988, p. 19). When perceived in this way, the idea of a large sample size, or even a randomization

of subjects, is ultimately beside the point of qualitative research. Merriam continues: “since generalization in a statistical sense is not the goal of qualitative research, probabilistic sampling is not necessary even justifiable in qualitative research” (1988, p. 48). The purposeful sampling methods outlined in the methodology are in fact a useful tool in the attempt to understand specific processes, whether general or unique, rather than to apply them across many situations with fewer variables (Ragin, 1987).

Limitations in case study research also occur due to the nature of the researcher. As Merriam states, in qualitative research, “the researcher is the primary instrument of data collection and analysis” (1988, p. 34). Therefore, any frivolous observations and/or conclusions made by the researcher may seriously threaten the validity, or “trustworthiness” (Creswell, 1998), of the research as a whole. Therefore, the researcher proceeded through the processes of data collection and data analysis with extreme care. Verification was ensured through the use of triangulation procedures, peer review, regular member checks, and a structural consistency in his interview procedures.

One way to understand the role of the researcher in qualitative inquiry is through an ethical lens. Guba and Lincoln (1981) comment, “an unethical case writer could so select from among the available data that virtually anything he wished could be illustrated” (p. 378). Another way to understand the researcher’s role is through the conception of dimensionality. In other words, how will the researcher make sure that what he perceives is actually happening? As MacDonald and Walker (1977) note, “at all levels of the system what people think they’re doing, what they say they are doing, what they appear to others to be doing, and what in fact they are doing may be sources of considerable discrepancy” (p. 186). These inherent limitations of qualitative research

were dealt with through the use of stringent triangulation procedures including the use of multiple sources of data, peer review, and member checks (Creswell, 1998; Stake, 1995).

In an attempt to alleviate some of these limitations imposed by the ultimately interactive role of the researcher, a considerable step was the awareness of bias. Guba and Lincoln (1981) assert that “the best cure for biases is to be aware of how they slant and shape what we hear, how they interface with reproduction of the speaker’s reality, and how they transfigure truth into falsity” (p. 148). As described in the methodology, this research actively separated observation from interpretation, and emerging themes were supported through member checks and triangulation (Stake, 1995). The researcher, though aware of his bias, also looked to other researchers for criticism (Fetterman, 1989; Hammersley & Atkinson, 1995).

Lastly, this researcher was aware of limitations springing from his subjects. Goetz and LeCompte (1984) note that qualitative research “is one of the few modes of scientific study that admit the subjective perception and biases of both participants and researcher into the research frame” (p. 95). As a result, the researcher took into consideration a past sense of events that may have been distorted by the subjects, inaccurate recollection of events, time, and/or people, as well as the influencing presence of the researcher. Actually changing the behavior of the group by studying it is a concern shared by many qualitative researchers (Stake, 1995; Merriam, 1988). To alleviate this possible limitation, the researcher focused on proper methods of access to the case and the development of proper rapport with the subjects (Creswell, 1998).

Delimitations

Delimitations are limitations of the study that are imposed by the researcher. As this research attempted to understand the leadership processes involved in a “bounded system” (Smith, 1978; Stake, 1995), the researcher gave considerable thought to how he would actually bind the system. Through a collective case study methodology (Stake, 1995), the researcher attempted to describe, interpret, and analyze the central idea of theory/reality discrepancies in leadership practices within three schools being managed by novice administrators. The cases were bounded in time by analyzing three purposefully selected novice administrators in their respective schools for nine days (three days of observation at each site) during the second half of their first year as a licensed principal in the state of Montana. While this research made an attempt to understand the processes at work within and between these respective schools, it did not attempt to generalize these processes to other schools, or other cases.

The second important delimitation involved in the research was the purposeful sampling of private, parochial schools. While the specific demands and situational pressures on these novice administrators were different from those in the public sphere, the adaptation and utilization of leadership theory was perceived as a process that transcended organizational demands.

Lastly, this study was delimited to administrators who graduated from the same master’s program in educational leadership. These administrators received a thorough and comparable program of study, consisting of the same foundations courses, and principal licensure requirements. These administrators were all within one year of graduation from this program.

Assumptions

At the outset of research, the researcher made the following assumptions about the nature of the cases.

- Leadership involves contingent behavior.
- Novice administrators are able to reflect upon their daily actions through the lens of their theoretical preparation.
- The participants are honest.

Definitions

The following definitions will be used as a guide for both data gathering and data analysis purposes:

Collaboration: “Working together in a supportive and mutually beneficial relationship. It is based on shared goals, involves joint resources and responsibility, and requires shared decision-making and accountability” (Friend & Cook, 2000, p. 5).

Instructional Leadership: Involves the active collaboration of principal and teachers on curriculum, instruction, and assessment. Within this model, the principal seeks out the ideas, insights, and expertise of teachers in these areas and works with teachers for school improvement. The principal and teachers share responsibility for staff development, curricular development, and supervision of instructional tasks (Marks & Printy, 2003).

Leadership Theory: The amount of consideration given to grounded theoretical leadership models as they relate to daily school leadership activities.

Novice Administrator: Must be in his/her first year of building leadership as a properly licensed and endorsed building principal.

Participative Leadership: “The use of various decision procedures that allow other people some influence over the leader’s decisions” (Yukl, 1998, p. 122). Also known as: consultation, joint-decision making, power sharing, decentralization, and democratic management (Yukl, 1998).

School Climate: “The relatively enduring quality of the school environment that is experienced by participants, affects behavior, and is based on their collective perception of behavior in schools” (Hoy, Tarter, and Kottkamp, 1991, p. 10).

Servant Leadership: Seeking to serve those that one nominally leads, taking their fulfillment as one’s primary aim (Greenleaf, 1977).

Transactional Leadership: An exchange of rewards for compliance (Bass, 1985).

Transformational Leadership: Followers feel trust, admiration, loyalty and respect for the leader, and are motivated to do more than they are originally expected to do. The leader (a) makes followers more aware of the importance of task outcomes, (b) induces them to transcend their own self-interest for the sake of the organization or team, and (c) activates their higher-order needs (Yukl, 1998).

Chapter 1 Summary

The role of the school administrator has traditionally been one characterized by ambiguity. Decades of research have contributed to the development of modern leadership theory concentrating on the effectiveness of participatory school governance. These theories have drawn from the inherent power of social systems within schools as well as the ultimate fluid, dynamic, and reflective relationship between leader and subordinate. This progression toward participatory leadership has contrasted greatly, however, with the bureaucratic structure of schools. The bureaucratic framework has

contributed to rational authority and traditional power structures as a means for administrators to lead effectively.

The increasing contextual pressures of the position have exacerbated this inconsistency. Not only have the demands on school administration increased dramatically in recent years, but the context of financial, political, and personal responsibility for school improvement have placed the burden of responsibility directly on the shoulders of the building administrator. Compounding this effect, increasing turnover rates among administrators have left many schools facing these pressures with a new leader at the helm who may or may not be familiar with his/her subordinates. Not surprisingly, the pressure for control supervision has mounted.

The battle lines between autocratic and democratic leadership styles have been drawn in the school arena. Newer school administrators enter the profession with leadership theory focusing on the power of participation in their organization; however contextual factors have begun to test their resolve. This study sought to open a window into the transition from leadership theory to practice for the betterment of school leadership as well as higher education preparatory programs.

Chapter 2

Review of the Related Literature

The Building Administrator

In order to understand the utilization of leadership theory in the real-life leadership practices of novice school principals, one must first understand the influence that a leader has in a specific organization (Leithwood & Hallinger, 1994). Springing from sociological roots, this issue has been researched extensively at the organizational level with mixed findings. Those who have cited the relatively unimportant role of organizational leadership articulate conclusions that “environmental, social, industrial, and economic conditions... are assumed to determine organizational direction and performance to a much higher degree than does leadership” (Nahavandi, 2000, p. 18). Others, however, point to the leader’s influential role in the change process (Burke, Richley, & DeAngelis, 1985), and the school leaders’ positive influence on student performance (Allen, 1981).

Specifically, the influence of the school principal on his/her staff has been well documented. For example, in a non-generalizable qualitative case study, Blase (1987) found several instructionally-related impacts on expectations for student achievement, focus, teachers’ time on task, and problem-solving orientation. Furthermore, a subsequent study by Blase and Roberts (1994) associated the principal’s leadership with teachers’ monitoring of student learning, consideration and tolerance for students, creativity, and planning. However, other research has criticized these findings, noting that classroom supervision often amounts to a “bureaucratic legacy of fault finding” and uses terms such as “snoopervision,” “protective political behavior,” and “a private cold war” to

characterize the field (Blase & Blase, 1999). Even Sergiovanni (1992) makes reference to supervision in terms of classroom instruction as a “nonevent—a ritual they participate in according to well-established scripts without much consequence” (p. 203).

There are, however, weaknesses in much of the methodology used in leadership studies. Leithwood and Hallinger (1994) comment that “this model of the educational leader as the independent variable in school improvement characterizes much of the research and professional literature on school leadership” (p. 210). Rather than understanding the performance of an organization as a product of the leader, we might better understand the nature of leadership by perceiving the organization as a system, and the leader as an influential factor within this system. In this vein, Nahavandi (2000) asserts “it is important to recognize that leadership is one of many factors that influence the performance of a group or of an organization” (p. 19). Furthermore, “the leader’s contribution, although not always tangible, is often significant in providing a vision and direction to followers and in integrating their activities” (p. 19). A need to understand organizations as “broad systems” (Nahavandi, 2000, p. 19) gives rise to the need for case study research on organizational leadership.

Bureaucratic Leadership

The tenets of bureaucratic leadership take their roots in the scientific revolution marking the turn of the 19th century. In this era “an organization was viewed as a mechanical device built according to given specifications drawn from a blueprint” (Hanson, 2003, p. 18). In this perspective, workers operate as mere extensions of their machines-- to be controlled, operated, and managed like any other device in order to maximize profit, giving rise to what many have called a “cult of efficiency” (Callahan,

1962). As Ogawa and Bossert (2000) comment, this “depicts organizations as technically rational systems and thus emphasizes two organizational features: goals and formal structures” (p. 41). They continue, arguing to the point that “the structural-rational perspective on organizations locates the competence and hence authority for making strategic decisions in managerial positions at the top of organizations’ hierarchies” (Ogawa & Bossert, 2000, p. 42). This pyramidal structure ideally allows commands to be sent downward through the ranks, while allowing communication, though very little expressed dissatisfaction (Hanson, 2003) to travel upward.

The bureaucratic ideology spread quickly through the country, and consequently embraced by many social institutions, namely public education. “Almost immediately after the nation became acquainted with the principles of scientific management (Taylor, 1913), pressures from all sectors of society forced this management orientation into the schools” (Hanson, 2003, p 21). A student-centered organizational model was replaced with an efficiency-centered organizational model, grades and subjects were contained and separated, and, perhaps most importantly from a leadership perspective, command-oriented control became the standard for school leadership.

The bureaucratic model, epitomized by the US military, changed the leadership perspective of public school administrators. E. Mark Hanson (2003) comments that “in the Weberian sense, this type of leadership revolved around caveats of a hierarchical structure, division of labor, control by the rules, impersonal relationships, and career orientation” (p. 16). As the organizational leader acted with little influence from subordinates, he/she was consequently held “responsible for his or her subordinates’ actions and decisions” (Hanson, 2003, p. 16). Turn of the century studies in leadership

“confine(d) leadership to the narrow corridors of power that exist in the uppermost levels of organizations’ hierarchies” (Ogawa & Bossert, 2000, p. 42). Hanson (2003) comments that as a consequence of these foundational perspectives, “generations of school administrators and teachers have been taught to accept classical management theory as the given condition of organizational life and to attempt to achieve its rationalistic demands” (p. 28).

Leadership in Social Organizations

While a residual bureaucracy is still evident in the basic structure and operations of the public school, research and consequential theoretical perspective has played a strong role in support of a more participatory nature to our conception of leadership (Yukl, 1998). Though the ideology behind scientific management is applicable in a rational system, leaders are increasingly aware that they operate in a non-rational environment. As Hanson (2003) comments, “the classical theory of orientation, with its assumption of rationality, does not consider the ingredients of a non-rational world” (p. 28). Furthermore, “the application of scientific management [to these situations] can be inefficient and ineffective” (Hanson, 2003, p. 28). Leaders in social organizations must attempt to understand the underlying complexity of human interactions, interpretations, thoughts, and feelings.

Social organizations are complex. Not only must the leader anticipate the logical conclusions of his/her actions, but he/she must also consider many situational variables. “In an organizational setting, a prescribed action may have unanticipated consequences because it evokes a larger or different set of consequences than those expected” (Hanson, 2003, p. 30). As an example of some of the conflicting variables that a school leader must

contend with, Simon (1957) offers a condensed list of these “constraints to rationality” (p. 40). He asserts that leaders must contend with: (a) the skills, habits, and reflexes that are more or less unconscious and that determine automatically an individual’s performance, (b) the motivations, values, loyalties, and vested interests of individuals in the organization, and (c) the amount of precise information available on the subject. Hanson (2003) furthers this argument, conveying the idea that even the mere conception of a human organization in rational terms is a false presumption. “In complex organizations, including educational systems, the visual depiction of a hierarchy—with the top orders and the bottom carrying them out—in today’s world is both misguided and irrelevant. No organizations, particularly schools, really work that way” (Hanson, 2003, p. 31).

Hallinger and Heck (1998) also ground their discussion of school improvement with a division between bureaucratic structure and social systems. While “school structure pertains to organizational roles and the network of relations among roles” (Lam, 2002, p. 441), social systems tend to develop roles which are independent, though influenced, by the bureaucratic hierarchy within the school. Lucas (2001) makes note of the tension between these competing influences. “There may be an inherent tension between the bureaucratic values of control and predictability held by principals and the autonomous values of flexibility and day-to-day creativity held by teachers” (p. 8). School administrators have begun to embrace a social-system perspective on their own leadership efforts. As King et al. (1996) assert, “shifting from traditional, hierarchical bureaucracies to participatory governance and decision-making is a major theme in school restructuring” (p. 2). At the heart of this shift is a more fluid interaction between

traditional roles of leaders and followers. “The relationship is a reciprocal one, where those in formal roles step aside to let others step into leadership roles” (Prestine & Bowen, 1993, p. 308). Some of the noted organizational modifications in accordance with participatory leadership are: “consensus decision making by whole faculties, elected steering committees, cabinets, and improvement teams, community and advisory councils, teacher management teams in lieu of a principal, extensive faculty committee structures to support aspects of restructuring, and semi-autonomous teaching teams” (King, 1996, p. 4). The various benefits and drawbacks to this organizational perspective will be covered in subsequent sections of this review.

Participatory Leadership

Scholars have first noted the benefits of participatory leadership as a source of increased power (Henkin, Wanat & Davis, 1996; Lucas, 2001; Yukl, 1998), often referred to as increased leadership capacity (Darling-Hammond, 1988; Rowan, 1990; Marks & Printy, 2003). “Behind this conceptualization of the role is the idea that the executive power of the principal is multiplied, rather than reduced, through the sharing of power (Lucas, 2001, p. 24). Cheney et al. (2003) refer to this transition as “a change from ‘power-over’ or authority of command, to ‘power-to,’ the ability to implement” (p. 181). In this sense, the principal takes on a facilitative role in the development of leadership characteristics of his/her staff. With this shift away from the bureaucratic perspective, the leader embraces the complexity and unpredictability of a social environment. “Instead of controlling events and people, the principal is free to increase the capacity of others in the organization through the facilitation of their knowledge, talents, and expertise” (Lucas, 2001, p. 24). Not only is this an increase in relative power in the organization, but “is

often a necessary part of the political process for getting decisions approved and implemented in organizations” (Yukl, 1998, p. 122).

In their discussion of leadership capacity, Marks and Printy (2003) refer to various specific actions taken by principals to facilitate the distribution of power. In addition to the many aforementioned structural changes, “some principals involve teachers in sustained dialogue and decision-making about educational matters. These principals recognize teachers as equal partners in this process, acknowledging their professionalism and capitalizing on their knowledge and skills” (Marks & Printy, 2003, p. 370). Ultimately, the specific actions involved in empowerment take a back seat to its general implementation and sincere pursuit at the building level.

Another well-documented benefit of participatory leadership is the increased capacity for school change. Louis et al. (1996) have attributed this capacity for change to the affirmation of responsibility and accountability of individual teachers. King (1996) states that this process can “enhance opportunities for teachers to use professional expertise to improve school effectiveness, leading to more innovative and vital school environments” (p. 3). Likewise, Dexter (2001) takes a bottom-up perspective on the change process within schools, stating that development begins with the interactions of individuals. Pascale’s (1990) image of the “sandwich” of change also reflects these findings. He states: “change flourishes in a ‘sandwich.’ When there is consensus from above and pressure from below, things happen” (p. 126). Digate and Rhodes (1995) express this participatory perspective of school change in their eloquent metaphor:

All who want better apples know that the fruit itself is the unit of visible change. All efforts to improve the fruit must ultimately be visible in the

apple. Those who work in the orchard, however, recognize that the unit of change is not the apple, or even the limb on the which it hangs, but the tree that supports and nurtures both through its invisible infrastructure of roots, veins, and capillaries. If one wants better apples season after season, one must have ways to understand and sustain the healthy interdependence of the tree and apple. (p. 35)

The benefits of the social conception of leadership lie in the fact that the leader must understand the interdependence of the system in which he/she exists. A more complete understanding of leadership is possible only with this perspective.

School leaders must also understand that they are oftentimes not the ones closest to many organizational problems. Marks and Printy (2003) articulate this idea. "Because teachers possess critical information about their students and how they learn, teachers need discretionary authority to make their own curricular and instructional decisions" (p. 372). Mintzberg, Dougherty and Jorgenson's (1996) leadership "circle" expresses this need for proximity to problems (p. 61). They convey the idea that while managers at the center see widely, they don't necessarily see clearly because they are distant from the operations. The trick, therefore, is the utilization of collaborative models. Hanson (2003) expresses this idea in terms of the traditional notion of the bureaucracy. "In a hierarchy with five levels, for example, there are at least four people who can veto a good idea coming from the lowest level (which, of course, is nearest to the problem at hand)" (p. 31). Leadership in this sense involves not only being able to solve problems, but also being able to access the ideas and possible solutions to these problems through fluid and collegial interactions with the staff.

Research has also focused on the relationship between participatory leadership and the improvement of school culture. Deal and Kennedy (1982) contend that organizational culture is composed of three parts: (a) shared beliefs, (b) expectations, and (c) values and norms of conduct of members. In other words, this can be termed “the way things are done around here” (Deal, 1986, p. 152). Consequently, these deeper value-laden changes are often the toughest to change within an organization, but also are accompanied by the most pronounced rewards. As Cunningham and Gresso (1993) point out, “the more understood, accepted, and cohesive the culture of a school, the better able it is to move in concert toward ideals” (p. 35). This reality has motivated many researchers to focus on school improvement through “re-culturing,” rather than restructuring (Cunningham & Gresso, 1993; Fullan & Miles, 1992; Schlechty, 1990).

One of the major difficulties in the re-culturing process has been the time commitment that it requires. Blase and Blase (1994) note that researchers indicate that true empowerment involves teachers being viewed as knowledgeable professionals. Consequently, “empowerment is not an overnight process, but rather a ‘way of life,’ which can take time to implement” (Martino, 2003, p. 5). Despite the time commitment that cultural investments require, they are a necessary first step in the school improvement process (Daniel, 1989; Lam, 2002). Specifically, three influences: (a) credibility, (b) expertise, and (c) relationships, can give teacher leaders a strong role in shaping school culture (Patterson & Patterson, 2004, p. 76). Though often portrayed as ‘step one’ in leadership manuals, re-culturing is ultimately a difficult, time consuming, and ongoing process for leaders in a social environment.

Though shaping school culture can be a difficult process for building principals, the resulting improvements have been shown to be well worth the effort. Cunningham & Gresso (1993) comment “culture must be at the center of all administrative efforts if we hope to continuously improve organizational effectiveness. The organizational behavior, structure, and performance all flow from the culture.” (p. 33). Marks and Printy (2003) look to distribute this burden of school culture development. “Functioning in leadership capacities (e.g., site council chairs, staff developers, or lead teachers), teachers could shape the goals and cultures of their schools while retaining their ties to the classroom” (p. 372).

Working from the Fullan (1993) idiom that “you can’t mandate what matters,” Cunningham and Gresso (1993) make the point that structural changes without proper cultural investments on the part of the leader can be fruitless, if not harmful.

Mandates are handled by the culture in an organization much as germs, viruses, and bacteria are handled by the human body. Antibodies collect around the germ for the purpose of carrying it through the human body in a way that it will do the least harm, and ultimately eliminate it from the system. (p. 33)

A serious reflection on the importance of participatory leadership as it relates to school culture is a necessary step in the leadership actions of any building level school administrator.

A second important point must be made in regards to participatory leadership as it relates to school culture. Recent increases in administrative turnover due to increased accountability, legislation, fiscal burdens, and time demands of the job (Whitaker, 1998)

have lessened the role of the building administrator as “keeper of the covenant” (Sergiovanni, 1989). Patterson and Patterson (2004) directly relate these changes to the increased importance of teachers “because the teacher culture is relatively more stable over time, long-term teachers have more opportunities than short-term principals do to shape what people in the school community believe, say, and do” (p. 75). For this reason, “distributing leadership throughout the school’s professional community to others can [help them] carry the torch after the principal has gone” (Hargreaves & Fink, 2004, p. 10).

Organizational Climate

Hoy et al. (1991) define school climate as “the relatively enduring quality of the school environment that is experienced by participants, affects their behavior, and is based on their collective participation of behavior in schools” (p. 10). Climate can be conceptualized along two interconnected continua: open to closed and healthy to unhealthy (Hoy et al., 1991). While an open climate facilitates genuine, open, interactions and generally high degree of legitimacy (Imants & Van Zolen, 1995), “a closed climate is one in which teacher and administrators do their work by going through the motions, basically doing no more than what is required by contract” (Sweetland & Hoy, 2000, p. 706). Healthy climates have been shown to have a strong sense of “institutional integrity,” as well as strong relationships between the staff, students, and community (Hoy et al., 1991; Sweetland & Hoy, 2000). Unhealthy climates are generally marked by: administrative mandates, supervision based on suspicion, and direct administrative controls (Sweetland & Hoy, 2000).

Various studies have been conducted in regard to the relative strength of school climate. Though no single factor determines climate in a general sense, Hoy et al. (1991) have defined six dimensions of school climate from various studies:

1. Teacher trust: one's willingness to be vulnerable to another.
2. Collegial leadership: fosters school effectiveness indirectly. Leaders are supportive, democratic, and concerned with the social needs and welfare of the faculty, as well as achieving the goals of the school. Collegial leaders are friendly, yet set clear teacher expectations and high, achievable standards for student performance. These leaders empower teachers to make decisions regarding instructional practices, allow teacher participation in decision making processes, and develop shared visions regarding student learning .
3. Teacher professionalism: "teacher behavior that is characterized by commitment to students and engagement in the teaching task" (Di Paola & Tschannen-Moran, 2001, p. 436). This is characterized by respect for the competence of colleagues, autonomous judgment, collaboration, open and cooperative interaction, continuous support, and trust.
4. Academic press: schools that set high, achievable goals and standards for their students. Guided toward meeting high, yet attainable expectations. Students strive to achieve, persist, and gain the respect of their peers and teachers through their accomplishments with academic success.
5. Organizational citizenship: the willingness of teachers to work above and beyond their contractual obligations.

6. *Collective teacher efficacy*: faculty and staff have the ability to achieve important goals of the school. They include both instructional practices and student discipline.

Hoy et al. (1991) contend that positive school climates are both open and healthy. It is important to note, however, that an administrator's insistence on a positive work environment without proper foci on teacher professionalism and academic press can be a danger to organizational success. Imants and Van Zolen (1995) show that weaknesses occur when open climates are combined with informal and friendly environments, possibly creating a lack of task or engagement for the school.

Classroom Instruction

Literature has also placed a large emphasis on participatory leadership as it relates to the quality of classroom instruction. These processes have been shown to “enhance individual and organizational performance, thus improving the quality of instruction in schools” (King, 1996, p. 3). For example, “when interacting with administration, teachers report positive changes in their pedagogical practices, including using various and innovative techniques and being willing to take risks” (Blase & Blase, 1999, p. 371).

Marks and Printy (2003) bring this idea into the realm of administrative decision-making practices. In their words, the solicitation of teacher expertise in larger building-level administrative decisions “have not only been shown to improve teacher’s working life, but add to their sense of professionalism, or “legitimacy as leaders” (Marks & Printy, 2003, p. 372).

Organizational Commitment

Organizational commitment has been another noted byproduct of participatory leadership. For example, Pacini (2000) has linked teacher empowerment to less absenteeism, higher employee satisfaction, and lower turnover. Likewise, “the benefits from a child and family perspective include more developmentally appropriate practice, better family relations and education, and an inclusive and diverse classroom community” (Martino, 2003, p. 4). Through participation, teachers “tend to experience meaning, impact, and autonomy in their work” (Diskul, 2001, p. 41). Often more importantly, “the opportunity to have some influence over a decision usually increases commitment to it” (Yukl, 1998, p. 124).

Lastly, we must consider participatory leadership efforts within schools as they relate to the role of public education as essential to the democratic process (Glickman, Gordon, Ross-Gordon, 2001; Hanson, 2003; Glasser, 1998). Glickman, Gordon and Ross-Gordon (2001) add clarification to this democratic process. They state that there are two forms of conceptualization of democracy within the classroom: that which is representative and that which is dependent on direct participation. Ultimately, participation in a representative democratic process is not an engagement in direct participation at the school level models a political structure that we are all responsible, if not obligated, to contribute to on a national level.

Wiles (1999) relates these democratic ideals to the conception of schools as a knowledge industry. “In a knowledge industry, the effect rather than the efficiency is a criteria for success. Democratic leadership, rather than bureaucratic leadership, is needed to produce such effects or outcomes” (p. 121). The public education system can be

appropriately characterized as the cornerstone of democracy, responsible for the education of democratic citizens and the promotion of a democratic society (Glickman, Gordon, Ross-Gordon, 2001). Therefore, if teachers fail to model such behaviors, it may be difficult for students to become more continuous learners (Fullan, 1993).

The Effects of Participatory Leadership

Research involving the real-life effects of participatory leadership at the building level has shown mixed results. For example, King (1996) found that “principals in schools with shared power relations provided stable facilitative leadership committed to the school’s mission” (p. 19). However, he continues, “research investigating its relationship to change in classroom practices has established no clear relationship” (p. 3). In fact, King’s research noted very few differences between the style of leadership and individual classroom practices. The most influential factor in terms of classroom practice was the formation of shared educational ideals. “Where administrators and teachers share values and objectives for student learning, teachers can achieve high quality instruction under fairly heavy-handed administrative control” (King, 1996, p.14). Therefore, success of classroom practices does not necessarily depend on the specific type of leadership practices within the school.

There have also been concerns among researchers and practitioners alike about the sincerity of such participatory leadership styles. Central to many of these efforts has been the “distinction between the governance structure, reflected in changes in the organization chart and defined responsibilities for decision-making, and the culture of power relations, that is, the norms, values and commonly accepted behaviors that affect the operation of the formal structures” (King, 1996, p. 4). Just as teachers’ participation

in shared instructional leadership occurs informally as well as being manifest in formal roles (Prestine & Bowen, 1993), “structural changes do not guarantee increased and more equitable influence over school-wide issues” (King, 1996, p. 24). It is ultimately the discretion of the leader that reflects the amount of staff participation. Lam (2002) makes note of these structural choices. “It is the administrators who usually decide the degrees of decentralization in decision making, the appointment of teaching staff for various committees, and the scheduling of the timetable” (p. 442). Likewise, administrators can oftentimes find themselves fighting against accepted patterns of leadership. “Once structures become institutionalized...it may be difficult for new principals to undo them without much effort and skill” (Lam, 2002, p. 442).

A noted concern in regard to the sincerity of school administrators in their participatory leadership efforts has been the ultimate accountability of the administrator. Obviously, “sharing power and decision-making with teachers does not relieve themselves of responsibility for the resulting decisions” (Lucas, 2001, p. 7). An administrator must oftentimes balance a sincere desire for participation with the reality of their employment. Therefore, “sometimes what appears to be participation is only pretense. For example, a manager may solicit ideas and suggestions from other and then ignore them when making the decision” (Yukl, 1998, p. 123). Quite often, the ultimate reality is that “defacto school-based management...operates according to bureaucratic models of management” (Conley & Bacharach, 1990, p. 540). Without sincere efforts on the part of the building administrator, staff, and district personnel, the aforementioned benefits of participation become only lip service for public relations purposes (Lucas, 2001).

Another noted reality of participatory leadership has been dual roles of intimidation and individualism among the staff (Yukl, 1998). King (1996) demonstrated this in his study of 24 schools that participated in a school restructuring study (conducted by the Center on Organization and Restructuring of schools). What seem on the surface to be sincere efforts of participation often reveal themselves to be consolidated groups of power, limiting the influence of other teachers on key policy and programmatic issues (King, 1996). Furthermore, these cultures produced environments in which “teachers prized individual autonomy and acted independently to achieve disparate goals. In these schools we saw a great deal of restructuring activity, but staff used decision making to increase personal autonomy” (King, 1996, p. 8). These individual pressures ultimately “resulted in a proliferation of programs which undermined any common vision of curriculum and pedagogy” (King, 1996, p. 8). These findings show that efforts for participatory leadership without proper consolidation and promotion of a common school mission can be harmful to the educational environment.

Practice-based concerns about the benefits of participation have also noted a lack of efficiency in administrative action. Scholars caution against participation that “is seen to be too costly, a waste of participating members’ time, a delay to important decisions, inefficient and unproductive, or a burden to teachers who value time with students or already have heavy workloads” (Lucas, 2001, p. 37). Other apprehensions include “the lack of time to meet, unenthusiastic participation by some faculty, teachers’ lack of experience in debating issues openly, and teachers’ distrust of school district administration” (Lucas, 2001, p. 37). Often, these pragmatic realities are not reflected in theoretical constructs.

Lastly, one must also consider the role of conflict in the participation process. For example, King (1996) found that “disagreements and inter-group conflict often made school-wide decision making very difficult, and individuals in the school believed that cohesiveness in school practices was neither necessary, nor possible, to achieve” (p. 7). While this can be thought of as a threat to relationships, culture, and the efficiency of leadership action, “sometimes conflict lets parties accomplish important goals with less time expenditure” (Wilmot & Hocker, 2001, p. 8). Furthermore, the opportunity to express differences of opinion can open channels of communication that have been previously ignored. Wilmot and Hocker (2001) continue, “the more people use productive communication, the more likely that the conflict will both solve problems and help the relationship go forward” (p. 9). Important to this topic is the role of the administrator. Oftentimes, in an attempt to avoid workplace conflict, leaders will attempt to disarm conflict at any cost. However, this can often leave things worse than they began. Rost (1993) conveys the importance of an attempt to facilitate interaction, rather than command. “Agreement must be consciously achieved by the interaction of leaders and followers. It must be developed using non-coercive methods” (p. 120). Conflict is a presence in any human organization, whether or not the leaders utilize participatory leadership strategies. However, the leader’s facilitation of communication, distribution of power, and focus on the educational ideals of all involved work to bring all parties to a common understanding.

On Managers and Leaders

Years of research have produced dichotomous findings in terms of leadership as opposed to management roles (Argyris, 1957; Barnard, 1938; Bass, 1960; Brown, 1967;

Feidler, 1965; Hanson, 2003; Getzels, Lipham & Campbell, 1968; Likert, 1961).

Specifically, findings have included differences between “effectiveness” and “employee orientation” (Barnard, 1938), “performance goals” and “supportive relationships” (Likert, 1961), and “task effectiveness” and “interaction effectiveness” (Bass, 1960). Differences generally revolve around the conception of the role of organizational efficiency and effectiveness as opposed to relationship development. In many ways, this difference reflects the previously described dichotomy between bureaucratic structure and social functions of schools.

Diskul (2001) begins a discussion on the difference between leadership and management. “Managers and leaders are different in motivation, personal history, attitudes and working styles...Managers tend to adopt impersonal attitudes toward goals and relate to people in order to establish strategies and make decisions” (p. 45). This perspective relates closely to the desire for schools to function in a mechanical sense. Diskul continues, “management deals with planning and budgeting, organizing and staffing, and controlling and problem solving” (2001, p. 46).

On the other hand, many of the recent conceptions of leadership have dealt directly with its complexity, emotion, and inherent humanity. “Leaders are concerned with ideas and relate to people in more intuitive and empathetic ways...while managers aim to get things done, leaders aim to determine the meaning of the event and decisions to the participants” (Diskul, 2001, p. 45). The conception of leadership has also been shown to have an important link to the change process within schools. As Kotter (1990) states, “management is about coping with complexity whereas leadership is about coping

with change” (p. 104). Furthermore, links have been made between this conception of leadership and transformational behavior (Yammarino, 1994).

Though researchers have articulated a relatively strong distinction between the role of a manager and a leader in an organizational setting, some shy away from differentiating the two, stating that both are needed for organizational effectiveness. Nahavandi (2000) notes, “Many have proposed separate definitions for leadership and management. However, the activities performed by leaders are similar to those typically considered to be the domain of effective managers” (p. 20). Kotter (1990) offers similar sentiments. “Leadership and management are two distinctive and complimentary systems of action. Each has its own function and characteristic activities. Both are necessary for success in an increasingly complex and volatile business environment” (p. 103). Kotter continues, “each system of action involves deciding what needs to be done, creating networks of people and relationships that can accomplish the agenda, and then trying to ensure that people actually do the job” (p. 104). Finally, McGregor (1954) offers a powerful personal statement to this effect, fully articulating the necessity of both perspectives in an organizational setting:

I thought that maybe I could operate so that everyone would like me—that “good human relations” would eliminate all discord and disagreement. I couldn’t have been more wrong. It took a couple of years, but I finally began to realize that a leader cannot avoid the exercise of authority any more than he can avoid the responsibility for what happens to his organization. (pp. 2-3)

This distinction between leadership and management will take importance in the later discussion of instructional, transactional, and transformational leadership as they relate to novice school administrators.

Servant Leadership

Mention must also be made to the role of the leader as a servant to those he/she leads (Greenleaf, 1977). In Greenleaf's conception, the servant leader wields a great power within the organization. "The great leader is seen as a servant first, and that simple fact is the key to his greatness" (Greenleaf, 1977, p. 21). As conceptualized by Greenleaf, this power springs from sources of social acceptance, power, and trust.

The servant leader understands that he/she is not the sole possessor of organizational leadership. Instead, they understand that power is given to them by the community in which they lead. "It is not the individual who decides that he is a leader or will become a leader, but the community that places him in that particular role" (Greenleaf, 2003, p. 34). In this sense, leadership is not owned, but rather shared between leaders and followers.

The interconnectedness of organizational power networks also relates to the previous discussion of participatory leadership. Greenleaf's articulation of servant leadership forces leaders to take "a fresh look at the issues of power and authority... some are beginning to learn, however haltingly, to relate to one another in less coercive and more creatively supporting ways" (Greenleaf, 2003, p. 32). In this model authority is assumed rather than granted. "The only authority deserving of one's allegiance is that which is freely and knowingly granted by the led to the leader in response to, and in proportion to, the clearly evident servant stature of the leader" (Greenleaf, 2003, p.

33). Creative support, however, does not come without the development of trusting relationships with staff.

With regard to the role of trust as it relates to servant leadership, Greenleaf articulates that this is a process less related to taking than it is to giving. The staff, he states, “will freely respond only to individuals who are chosen as leaders because they are proven and trusted as servants” (Greenleaf, 1977, p. 24). Ironically, leadership is said to be secured through the process of letting it go. “The leader is trusted because he or she chances losing leadership by taking the initiating risks to venture for the common good” (Greenleaf, 2003, p. 34). However, trust is not merely granted because of the leader’s place in the organization. It is developed through service-oriented effort. “Those who strongly feel the need [for trust] must do the hard work, the disciplined serving and leading that are necessary to bring it about” (Greenleaf, 2003, p. 36).

Lastly, and perhaps most importantly with respect to the novice administrator, is the ability to develop as a member of the internal culture. “The natural leader...is too rare to be embraced as the total solution, and yet the self-chosen leader, who does not see himself or herself as of the people, will ultimately be unacceptable, no matter how able he or she is” (Greenleaf, 2003, p. 34). The role of an organizational leader can not merely be assumed; it must be earned through requisite time, effort, and dedication to service.

Contemporary Leadership Theory

Thus far we have traced the bureaucratic roots of educational administration through recent attempts to utilize social systems theory and participatory leadership styles. These “principles of equality (not hierarchy) and reflection and growth (not compliance)” (Gordon, 1997, p. 351) have given rise to “democratic, collaborative,

human resource–based, developmental, and transformational approaches to instructional leadership” (Gordon, 1997, p. 351). In addition to these factors, a professionalization of the role of teachers, social systems power at the building level (Hanson, 2003), increased state and federal accountability measures, and an increased awareness of adult learning and motivation theory have focused leadership theory on the social, emotional, moral, and spiritual growth of subordinates. Merely understanding the complexities of social organizations is no longer sufficient for school administration. Modern theoretical approaches to school leadership have articulated a fluid and dynamic relationship between leader and follower; an evolving relationship involving not only contingent behavior, but an understanding of professional and personal growth. Central themes in the conception of these theories have been practices of instructional leadership, transactional leadership, and transformational leadership.

Instructional Leadership

The term instructional leadership has been interpreted in a variety of ways, however it originally emerged in the effective schools movement of the 1980’s (Marks & Printy, 2003). This interpretation “viewed the principal as the primary source of educational expertise” (Marks & Printy, 2003, p. 372), and was considered to be “directly against the ideal of a democratic and participative organization of schools that emerged in the late 80’s with school restructuring and the movement to empower teachers as professional educators” (Marks & Printy, 2003, p. 371). Obviously, with the onset of participatory leadership practices on a larger scale, the term fell out of favor with many educational researchers. Recent interpretations of the term, however, have incorporated participatory aspects in an attempt to articulate a dynamic and developmental relationship

between leaders and subordinates (Blase & Blase, 1999; Glanz & Neville, 1997; Glickman, Gordon, & Ross-Gordon, 2001; Marks & Printy, 2003; Reitzug, 1997). Furthermore, this conception of instructional leadership is “qualitatively different” (Lucas, 2001, p. 23) than preceding notions of the principalship in that it focuses on leadership behaviors rather than those that could be considered managerial in nature.

In its modern conception, instructional leadership looks toward a developing professional relationship between leader and subordinate through changing leadership actions (Glickman, Gordon, & Ross-Gordon, 2001). While “instructional leadership is often defined as a blend of several tasks, such as supervision of classroom instruction, staff development, and curriculum development” (Blase & Blase, 1999, p. 350), these general tasks can be broken down to specific actions, including: framing school goals, communicating school goals, supervising and evaluating instruction, coordinating the curriculum, monitoring student progress, protecting instructional time, maintaining high visibility, providing incentives for teachers, supporting professional development sessions, planning, organizing, facilitating change, motivating staff, and providing incentives for learning (Blase & Blase, 1999; Pajak, 1989). Likewise, Glickman (1985) asserts that there are five primary tasks of instructional leadership: (a) direct assistance to teachers, (b) group development, (c) staff development, (d) curriculum development, and (e) action research. Furthermore, he maintains that it is through the combination of these tasks that the leader develops a common educational vision.

One of the most central features of instructional leadership, or shared instructional leadership (Marks & Printy, 2003), has been its focus on teacher empowerment. These efforts have occurred particularly in areas of curriculum, instruction, and staff

development (Blase & Blase, 1999; Louis, Marks, & Kruse, 1996). Proponents of this conception of leadership look to its inherent ability to “professionalize” teaching (Glanz & Neville, 1997; Glickman, Gordon, & Ross-Gordon, 2001). In other words, professional growth occurs not only at the individual level, but also in terms of a “collective—not an individual—practice of teaching” (Blase & Blase, 1999, p. 349). Dowling and Sheppard (1976) refer to this process as a “kind of mutual nudging in the profoundly cooperative search for answers to instructional problems” (p. 5). Blase and Blase (1999) take this idea of empowerment in a slightly different direction, noting its place in a democratic school and society. They describe instructional leadership as “a discursive, collaborative, and critical study of classroom interaction to achieve a just and democratic world” (p. 351). Whether based on school or societal values, teacher empowerment becomes a central idea in the conception of instructional leadership practices.

Marks and Printy (2003) add to the discourse in their comprehensive study entitled “Principal leadership and school performance: An integration of transformational and instructional leadership.” This study of 24 nationally selected restructured schools which was published in *Educational Administration Quarterly*, conceptualizes instructional leadership in much the same way as those studies previously noted, but use the term “shared instructional leadership” (p. 371). Similarly, they contend that “shared instructional leadership involves the active collaboration of principal and teachers on curriculum, instruction, and assessment” (p. 371). Not only do teachers and principals share the tasks of program development, but also “share responsibility for staff development, curricular development, and supervision of instructional tasks” (p. 371). “In this context, the principal is not the sole instructional leader, but the ‘leader of

instructional leaders” (p. 371). Their embedded realization of a direct relationship between empowerment and responsibility is a necessary step in any conceptualization of participatory actions of a leader.

Modern conceptions of instructional leadership, particularly at the direct assistance level (Glickman, 1985) incorporate a developmental perspective to superior/subordinate interactions (Glickman, Gordon, & Ross-Gordon, 2001). Utilizing grounded motivational theories (deCharms, 1968; Herzberg et al, 1987; Herzberg, Mausner, & Snyderman, 1959; Maslow, 1954), combined with adult learning research (Havighurst, 1980; Horn & Cattell, 1967; Gardner, 1983; Sternberg, 1985, 1990; Thorndike et al., 1928), Glickman, Gordon, & Ross-Gordon’s (2001) conception of developmental supervision takes advantage of an interactive, emergent relationship between superior and subordinate. Through a progression of supervisory behavior, specifically directive control, directive informational, collaborative, and non-directive, the “long term goal of developmental supervision is teacher development toward a point at which teachers, facilitated by supervisors, can assume full responsibility for instructional improvement” (Glickman et. al., 2001, p. 204).

Likewise, others have noted the developmental aspects of instructional leadership on both an individual and group level. For example, Pajak (1993) concluded that “in contrast to the common practice of instructional leadership as ‘reinforcing specific prescribed teacher behavior and skills,’ the emerging dialogue stresses classroom teaching, curriculum, and staff development aspects of instructional leadership and ‘helping teachers discover and construct professional knowledge and skills’” (p. 318). Furthermore, Sheppard (1996) puts forth that the most influential instructional leadership

behavior at both the elementary and high school levels is the promotion of teacher's professional development activities. The developmental process of instructional leadership has even been applied to administrators, using such terms as mutual "exploration into uncertain matters," and "problem solving" (Blase & Blase, 1999; Glanz & Neville, 1997). These developmental aspects of instructional leadership deepen our understanding of the term as more than just mere participation.

Conceptions of instructional leadership have also focused on the idea of reflective teaching as well as leading. For example, Reitzug and Cross (1993) promote the idea of inquiry-based development within the practice of instructional leadership. Furthermore, they assert that the principal plays a central role in the development of teacher reflection. Similarly, Schön (1988) articulates a definition of instructional leadership that focuses on support and the promotion of reflective teaching. While these conceptions broadly frame the role of the principal in an instructional leadership role, Blase and Blase (1999) note five specific strategies that principals have used. These actions include: (a) making suggestions, (b) giving feedback, (c) modeling, (d) using inquiry and soliciting advice and opinions, and (e) giving praise. Ultimately, these inquiry based modeling behaviors promote a reflective atmosphere among both teachers and leaders within a school.

To note the commonality of the practice of instructional leadership, Hallinger and Heck (1996a, 1996b) conducted an inquiry that considered 40 studies relating to the principal's role in school effectiveness. Findings of this inquiry show that the principal's role in school effectiveness could be characterized as instructional leadership (based on theoretical models discussed by Bossert, Dwyer, Rowan, & Lee, 1982) in three quarters of the cases studied.

In addition to the analysis of the prevalence of such leadership behaviors in public schools, several studies have also examined its effectiveness. Though Short (1995) has called for more research into the effects of leader behavior on teacher behavior, subsequent studies have shown “a positive and strong relationship between effective instructional leadership behaviors exhibited by principals and teacher commitment, professional involvement, and innovativeness” (Blase & Blase, 1999, p. 353). Furthermore, Reitzug’s (1994) case study observed the provision of staff development, support of inquiry-based practices, encouragement of risk-taking, and requirement of justification of practices in a single principal’s instructional leadership practices. These practices were shown to increase teacher’s critique of practice, consideration of possible alternatives, teamwork, implementations, and innovations. Blase and Blase (1999) note that these effects were “similar to those we found in research focusing on the practices of empowering instructional principals” (p. 352).

Transactional Elements of Instructional Leadership

In order to more clearly distinguish between instructional and transformational leadership, one must look toward the transactional relationship between superior and subordinate that is present in many organizations. Not only have theories focused on the exchange of tangible items in an effort to motivate followers, but also as a process by which “the leader clears obstacles in exchange for follower motivation by either providing structure to the task or by being considerate” (Nahavandi, 2000, p. 185). Even though instructional leadership has a concern for the professional participation and development of the follower, motivation is achieved through a give and take relationship

between the two. Nahavandi notes that these behaviors “are considered to be an essential part of leadership” (Nahavandi, 2000, p. 185).

Bass (1996), Bass and Avolio (1994) and DenHartog et al (1997) have articulated three dimensions of transactional leadership:

1. Contingent reward or contingent reinforcement. “Contingent reward leaders can motivate followers in two ways: positive or aversive contingent reinforcement” (Diskul, 2001, p. 49). While positive reinforcement can include salary increases, promotion, or praise, aversive reinforcement can include demotion, counseling, or withholding pay.
2. Active management by exception. “Includes monitoring of subordinates and corrective action to ensure that the work is carried out effectively” (Yukl, 1998, p. 326).
3. Passive management by exception. “Characterizes the leader who is reactive and takes action only after deviations and irregularities in the followers’ assignment have occurred” (Diskul, 2001, p. 50).

These three dimensions often occur in a synchronous nature, but all serve to satisfy lower-level motivation needs (deCharms, 1968; Herzberg, 1987; Herzberg, Mausner, & Snyderman, 1959; Maslow, 1954). Rather than focusing on the promotion of excellence, transactional contracts “focus on short-term, immediate outcomes” (Nahavandi, 2000, p. 186).

Transactional characteristics therefore best serve the *managerial* tasks of the principalship. As Tracey and Hinkin (1998) argue, transactional leadership emphasizes such things as assignments, work standards, and task-oriented goals; the consequential focal point is on task completion and subordinate compliance. Furthermore, these

behaviors best serve situations in which the leader can distinguish immediate beginning and end goals. Correcting problems or establishing an agreement to increase the probability of achieving positive results can accomplish this objective (Kuhnert, 1994). Instructional leadership is developmental in nature, but its transactional foundation carries with it a certain emphasis on task-completion, rather than long-term organizational growth.

Research has noted developmental aspects of the process of instructional leadership and supervision (Glickman, Gordon, Ross-Gordon, 2001), but mention must be made of the difference between a developmental approach and a transformational approach to leadership. Instructional leadership, as noted before, has as a focus on a changing and developing professional relationship between leader and subordinate. Through the utilization of motivation and adult learning theory, the leader has the responsibility of understanding the needs and abilities of his/her subordinate. Using developmental theory, he/she can approach his/her leadership actions in a way that is most useful to all involved. For example, a directive approach to a master teacher would be as improper as a non-directive approach to a novice teacher. However, despite the developmental phases of instructional leadership that have been previously discussed, the basis for relationship between leader and follower follows a transactional path. In Hanson's (2003) words, the leader ultimately utilizes "negotiated arrangements that satisfy participants who then agree to a course of action" (p. 178). The leader is expected to promote employee growth by utilizing contingent reward, active management, and passive management (Bass, 1996; Burns, 1978).

Transformational approaches also work toward employee growth and a dynamic relationship between leader and follower. Furthermore, this relationship is carried into the personal and moral domain. However, this relationship is not transactional in nature. Rather, the leader and follower are seen as partners in the process of establishing higher orders of professional, personal, and moral growth. In other words, both leader and follower are involved in a mutual journey “toward a higher order of change that establishes an integrative fit between the processes and products of the micro and macro environments” (Hanson, 2003, p. 178). This growth ideally increases employee commitment, understanding, and the adoption of a common vision within the organization.

Definitions of transactional leadership as compared to transformational leadership have differed greatly. Many anchor these differences in terms of the focal point of the leader. As Marks and Printy (2003) comment, “Instructional leadership narrowly defined, focuses on leadership functions directly related to teaching and learning” (p. 373). Furthermore, “instructional leadership also refers to all other functions that contribute to student learning, including managerial behaviors” (Marks & Printy, 2003, p. 373). Transformational leadership, on the other hand, has been understood to lack this explicit instructional interest for a greater concern with professional and personal growth (Hallinger & Leithwood, 1998). As we will see later, this has been contested on several occasions (Sebring & Bryk, 2000; Sheppard, 1996). These differences, however, should not be confused with the capacity of a leader to use both approaches simultaneously, otherwise termed as an integrated approach.

“Transformational and shared instructional leadership are complementary, in our view,

but neither conceptualization embraces the other. When they operate in tandem, however, the leadership approaches are integrated” (Marks & Printy, 2003, p. 373). In order to accurately observe transformational behaviors of school leaders, a deeper understanding of this theory is necessary.

Transformational Leadership

As opposed to the definition of instructional leadership through specific actions and intentions, transformational leadership puts forward the idea that that leaders use behaviors that are more complex than the mere initiation of structure and consideration (Bass, 1985; Bass & Avolio, 1990; Bennis & Nanus, 1985; Conger & Kanungo, 1988). It is important to understand transformational leadership not as a separate path from transactional, but as an evolution. In this respect, actually differentiating the principal’s role in transformational leadership becomes difficult to separate from actual context. As a result, “recent studies define the principal’s role more broadly, using constructs such as transformational leadership, participative leadership, and the decentralization of decision-making” (Blase & Blase, 1999, p. 353). Like many definitions of instructional leadership, transformational leadership also utilizes Maslow’s (1954) hierarchy of needs, but supplements this grounded theory with insights from moral development literature (Kohlberg, 1981). Marks and Printy (2003) relate this to the change and commitment processes within schools. “As a transformational leader, the principal seeks to elicit higher levels of commitment from all school personnel and to develop organizational capacity for school improvement” (p. 377). Furthermore, “transformational leadership...provides intellectual direction and aims at innovating within the

organization, while empowering and supporting teachers as partners in decision-making” (p. 371).

Bass’s (1996) articulation of transformational leadership differs somewhat from the previously expressed dimensions of transactional leadership. His dimensions of transformational leadership include the following:

1. *Idealized influence (charisma and inspiration)*. “Is the behavior that arouses strong follower emotions and identification with the leader” (Yukl, 1998, p. 326). Nahavandi (2000) goes on to term this dimension as “charisma and inspiration,” noting “the charismatic leadership relationship creates the intense emotional bond between leaders and followers (p. 186). Finally, Bass (1995) argues that transformational leaders depict an attractive vision of what the outcomes of their efforts could be, providing followers with more meaning in their work. This vision inspires excitement, enthusiasm, and emotional involvement.
2. *Individualized consideration*. “Includes providing support, encouragement, and coaching to followers” (Yukl, 1998, p. 326). “The individually considerate leader develops followers to higher levels of potential by acting as coach or mentor” (Diskul, 2001, p. 53).
3. *Inspirational motivation*. (Bass & Avolio, 1990). This “Includes communicating an appealing vision, using symbols to focus subordinate effort, and modeling appropriate behaviors” (Yukl, 1999, p. 326).
4. *Intellectual stimulation*. This is termed as “the leaders ability to challenge followers and solve problems...by encouraging them to look at problems in new ways and requiring new solutions, the leader pushes followers to perform beyond what they

previously considered to be possible” (Nahavandi, 2000, p. 186). Diskul (2001) goes on to express “Intellectual stimulation leadership may be exhibited by both transactional and transformational leaders. The former use their intellect to maintain the status quo; the latter use it toward creativity and growth” (p. 55).

Like the transactional behaviors noted above, transformational leadership also looks to motivation theory in an attempt to improve the working lives of subordinates. However, rather than a focus on lower order “hygiene factors” (Herzberg et al., 1987), transformational leadership (Leithwood, 1994) looks to the fulfillment of higher-order needs such as esteem and self-actualization (Maslow, 1954).

In a further expression of the functions of transformational leadership, researchers have developed nine major idealized outcomes of such processes, under three subheadings (Leithwood, 1994, 1995; Leithwood, Dart, Jantzi & Steinbach, 1993; Leithwood, Jantzi & Steinbach, 1999). These include efforts that are:

- Mission centered
 - Developing a widely shared vision for the school
 - Building consensus about school goals and priorities
- Performance centered
 - Holding high performance expectations
 - Providing individualized support
 - Supplying intellectual stimulation
- Culture centered
 - Modeling organizational values
 - Strengthening productive school culture

- Building collaborative cultures
- Creating structures for participation in school decisions

(Marks & Printy, 2003, p. 375)

Interestingly enough, these conceptions devote considerable attention to the principal's role in instructional growth. "Even in collaborative cultures where principals' transformational efforts encourage teachers to contribute leadership and expertise in teaching and learning, principals have a central and explicit role in instruction" (Marks & Printy, 2003, p. 376). Therefore, one must also look to instructional tasks in the search for transformational leadership characteristics.

Transformational leadership is also considered to be very effective for organizations undergoing change. Hanson (2003) suggests that "in the context of educational restructuring, transformational leadership skills can be particularly beneficial" (p. 178). Diskul (2001) relates this capacity to the leader/ manager dichotomy. "Transformational behavior is related to leadership rather than management because it involves change" (p. 46). Because it "ignites and nurtures each person's capacity to learn, grow, and change" (Wald & Castleberry, 2000, p. 18), transformational leadership "encourages commitment, shapes meaning, promotes shared values, and takes advantage of opportunities for change" (Colvin, 1996, p. 47). Hallinger (1992) attributes this capacity for change to increased participatory actions. He argues that transformational leadership focuses on (a) problem finding, (b) problem solving, and (c) collaboration with stakeholders with the goal of improving organizational performance.

Another important aspect of transformational leadership is its close relationship to moral developmental theory. As Rost (1993) states, "that people can be lifted into their

better selves is the secret of transforming leadership” (p. 122). Jacobsen et al. (2002) expand on this notion when they define transformational leadership as “school leaders and classroom teachers seeking meaning together as a community, and supporting individuals as they seek meaning in their professional lives” (p. 3). This moral vision is often the cornerstone of effective leadership. “We expect moral vision to come with good leadership; we want leaders who will help us make decisions about priorities” (Ganesh, 2003, p. 181). Through the expression of a common moral purpose, subordinates are more likely to invest in a common organizational vision. As Diskul (2001) states, “transformational leadership involves shifts in followers’ beliefs, values, needs, and capabilities” (p. 52). Perhaps most profoundly, Hanson (2003) puts this moral vision into an organizational perspective. “The idea of transformation calls for energizing personnel to make a united response to a higher level of goals common to all those associated with the teaching-learning process” (p. 178). Not only are teachers and administrators involved in a common pursuit of these higher-level goals, but also search for ways to relate these goals to effective teaching and learning strategies.

While we have articulated the importance of a moral vision in the process of transformational leadership as a vehicle for prioritization, organizational vision remains a large component in the pursuit of these higher-order motivation and goals. First, “the transformational leader must be able to delineate and articulate a vision for the organization and the followers must be able to rely on the leaders’ character” (Diskul, 2001, p. 52). This is a process by which the leader guides the thinking and feeling of the staff, rather than merely ‘selling’ a believable picture (Chirichello, 1999; Leithwood, 1992; Mitchell & Tucker, 1992). A key to the development of this vision is that it

represents a process that encourages followers to transcend their own self-interest for the purposes and mission of the larger group and/or organization (Bass, 1990). Not only does this raise participants' level of commitment (Burns, 1978), but also activates them as players in a larger organizational picture. This has aptly been referred to as a process of "leadership as building" (Sergiovanni, 1989, p. 215).

Hanson (2003) offers a cautionary note to philosopher-administrators who entirely replace effective administration with ideas of moral and organizational vision. He contends that "the transformational leader must be prepared to conduct strategic long-term planning, read the changing nature of external and internal situations, and manage organizational cultural variables to align them with action plans" (Hanson, 2003, p. 178). In this sense, the administrator's position as a transformational leader is not only that of a visionary, but also one who puts these visions into action.

Much like other modern leadership theories utilizing a social systems perspective, transformational leadership has been built on a foundation of participatory leadership. Several authors have related this process with such efforts as decentralizing decision-making and maximizing collective learning (Kofman & Senge, 1993; Lam, 2002; Mohrman & Mohrman, 1995). Marks and Printy (2003) remark on the professional knowledge of teachers as partners in the decision-making process. "Because teachers possess critical information about their students and how they learn, teachers need discretionary authority to make their own curricular and instructional decisions" (p. 372). By recognizing teachers as "equal partners in the process, acknowledging their professionalism and capitalizing on their knowledge and skills" (Marks & Printy, 2003, p. 371), administrators not only share power, but the responsibility for these choices.

Therefore, “the principal and teachers share responsibility for staff development, curricular development, and supervision of instructional tasks. Thus, the principal is not the sole instructional leader but the ‘leader of instructional leaders’” (Marks & Printy, 2003, p. 371). In respect to the participatory actions of transformational leaders, Hallinger (1992) looks not only inside the walls of the school, but to others that have a sincere interest in the local educational climate. Oftentimes, transformational leaders must utilize interactions with extended communities in order to bring about large-scale changes.

Conceptions of transformational leadership have also played an important role regarding “followership” as a critical element of organizational performance. For example, Burns (1978) began this inquiry by focusing on the leader/ follower relationship. He found that improvements occur in both the intentions and resources of those involved when the relationship focuses on a pursuit of shared purposes. While Burns (1978) argues that the leader is the primary architect in the leader-follower relationship, there is another, and perhaps more exciting aspect of the leader/ follower relationship in terms of transformational leadership. “An outcome of this development of the organization’s members is that, over time, followers in the organization or system have the potential to be changed, or transformed, into leaders themselves” (Lucas, 2001, p. 42). Transformational leadership takes the traditional model of bureaucratic control and turns it inside out, challenging assumptions about power, control, and performance. The result has been termed a “more flexible, versatile, and responsive behavior” (Lucas, 2001, p. 10), and has been marked by “arousing human potential, satisfying higher order needs, and raising expectations of both leaders and followers to motivate them to higher

levels of commitment and performance” (Sergiovanni, 1989, p. 215). Ultimately, we understand that transformational leadership:

Becomes a mechanism for the authentic empowerment of followers, as followers are not only allowed to be involved in leadership activities, but are also enabled by the organization’s formal leader in order to gain the skills needed to exercise leadership (Lucas, 2001, p. 42).

Various researchers have noted the effects of transformational leadership at the building level (Leithwood, 1994, 1995; Leithwood, Dart, Jantzi & Steinbach, 1993; Leithwood, Jantzi & Steinback, 1999). However, research dealing with the effects of transformational leadership on student achievement have been somewhat mixed. Sebring and Bryk (2000) as well as Sheppard (1996) offer the findings that principals’ transformational efforts encourage teachers to contribute leadership and expertise in teaching and learning. Furthermore, they note the explicit role that a transformational leader plays in instructional efforts within the building. Likewise, Leithwood (1994) has indirectly linked teachers’ classroom behaviors, attitudes, and effectiveness to principals’ transformational leadership. Heck, Larsen and Marcoulides (1990) also have shown both direct and indirect effects on student achievement through the building principal’s influence on school governance, instructional organization, and school climate. However, we are reminded most recently by Marks and Printy (2003) that “although transformational principals can enhance student engagement in learning, studies have not shown any *direct* effects on student achievement” (p. 376- italics added). Ultimately, we are left with findings articulating the strong role of the transformational leader on school

culture, morale, and commitment, within the school; however, these findings have thus far only been indirectly related to student achievement.

Cognitive Style and Leadership

Though incredibly complex, there is an increasing importance placed on the role of cognitive style on leadership processes at the building level. As Leithwood (1995) notes, “leaders’ internal processes are not just one of several variables influencing their practices. Rather, internal processes are the lens through which all external influences must be interpreted” (p. 117). Cognitive style, therefore, plays a very important role in the leader’s understanding of dynamic situations, and the position he/she holds as an instructional or transformational leader. Acknowledgement of this importance is necessary for any study delving into the leadership practices of school administrators. Leithwood (1995) outlines the major contributions that cognitive perspectives play in the study and practice of leadership. They are:

1. To redefine the meaning of “effective” leadership in a manner that is substantially more productive than current alternatives;
2. At the very least, to reorganize and possibly to change dramatically the understanding of the knowledge base required to exercise effective leadership;
3. To reform the means for developing effective school leadership.

(p. 115)

It is with these goals in mind that this study will acknowledge the inherent importance of perspective in the practice of school leadership.

When thinking about cognitive style as a foundation for instructional and transactional leadership practices, it is not only difficult to separate actions from context,

but also to understand the complexity of interaction and internal processes involved in a leader's action. After all, "pushed to their logical conclusion, situation and contingent propositions suggest that efforts to codify leadership behavior are likely to bog down in a quagmire of infinitely variable organizational circumstances" (Leithwood, 1995, p. 120). However, the researcher may be able to account for some of these internal and external variables by qualitative interpretation. Obvious external influences exist in the leadership practices of school principals. Most notably, they involve the interpretations of and relationships with staff, students, and stakeholders. Leithwood (1995) defines internal variables as those that "serve the various purposes of generating an internal representation of the problem, what a person believes the problem to be" (Leithwood, 1995, p. 120). Understanding these internal solving processes helps the researcher understand why and how a person "will transform the current state into a more desirable goal state" (Leithwood, 1995, p. 120).

Unfortunately, research into these processes is lacking. "As of the mid-1980's, the least amount of systematic study has gone to the interaction of personal and situational variables as a source of explanation (of administrative behavior)" (Boyan, 1988, p. 93). Furthermore, he understands that this is "the very area that offers most hope for gaining clearer understanding of why administrators do what they do. It is also, of course, the most difficult condition to investigate" (Boyan, 1988, p. 93).

While research is lacking into cognitive style's influence on leadership actions due to contextual variables, there has been a noted body of literature regarding the developmental nature of cognitive style. This has taken the form of investigations into adult learning theory and intelligence (Gardner, 1983; Goleman, 1995; Havighurst, 1980;

Horn & Cattell, 1967; Sternberg, 1985, 1990; Thorndike, 1928). These cognitive models “conceptualize school leaders as problem finders and problem solvers with varying levels of expertise” (Leithwood, 1995, p. 118). Leithwood’s (1995) research identifies two categories of processes involved in problem solving: understanding and solving. General findings include:

Experts, as compared with non-experts, develop relatively clearer understanding of the problem before attempting to solve it; devote more time and effort to the initial formulation of ill-structured problems; and are more inclined to view the immediate problem in its relationship to the broader mission and problems of the organization. (Leithwood, 1995, p. 121)

Likewise, Leithwood and Steinbach (1995), found that expert school leaders more adequately anticipate many of the constraints likely to arise during problem-solving; show a greater tendency to plan, in advance, for how to address anticipated constraints; respond more adaptively and flexibly to constraints which arise unexpectedly; and do not view constraints as major impediments to problem-solving. They are additionally more likely to control their moods during problem solving, exhibit more self-confidence about their ability to solve problems, demonstrate respect and courtesy to those involved with the problem (both at the initial occurrence and upon reflection), and tend to be more likely to be reflective about their behavior, thoughts and moods (Leithwood & Steinbach, 1995).

The Myers-Briggs Type Indicator (MBTI)

The MBTI is a widely used instrument used to identify normal cognitive differences (Myers & Myers, 1998). These identified cognitive differences may be the cause of organizational realities such as the presence of conflict and communication patterns of the staff. Specifically, the MBTI looks to measure four distinct, dichotomous cognitive characteristics: (a) interaction with the external world, (b) decision making, (c) information gathering, and (d) structuring lives (Myers & Myers, 1998). These characteristics are reported on four scales: Extraversion-Introversion (E-I), Sensing-Intuition (S-N), Thinking-Feeling (S-F), and Judging-Perceiving (J-P):

- Extraversion-Introversion: How an individual is energized can be either from interaction with people and objects in the outer world (E, Extraversion) or from reflecting on people and objects in his or her own mind (I, Introversion). In an individual, one of the cognitive processes or functions will be extraverted and another cognitive process or function will be introverted: these are the dominant and auxiliary functions.
- Sensing-iNtuiting. The two "perceiving functions" present how information might be perceived or gathered. The Sensing function (S, Sensing) uses the reality of touch, sight, taste, smell, and hearing to gather information. The iNtuiting function (N, iNtuiting) unconsciously identifies relationships and possibilities when gathering information.
- Thinking-Feeling. The two "judging functions" indicate how a person judges a situation or makes a decision. The Thinking function (T, Thinking) employs rational use of logic and objective truth when making a decision. The Feeling function (F,

Feeling) employs rational use of empathy and subjective values when making a decision.

- Judging-Perceiving. How an individual is oriented in the outer world is evidenced by either structure or organization with a focus on closure and decision-making (J, Judging) or flexibility and organization with a focus on continual search for additional information (P, Perceiving) (Russell, 2002).

MBTI helps students and practitioners to recognize their own cognitive types and associated interaction styles, decision-making choices, and strengths and limitations, as well as to appreciate the differences among people of different cognitive types (Moore, Jenkins, & Dietz, 1998). Requisitely, this instrument will be used as a tool for the increased understanding of each novice administrator's cognitive type. Specifically, this instrument will allow the researcher to paint a cognitive picture of the novice administrator, noting predispositions to any communication and conflict tendencies. Furthermore, the MBTI has been shown to produce both consistent and valid results (Moore, 2004), and will aid as a triangulation procedure for this research.

Cognitive Dissonance

Cognitive dissonance (Festinger, 1957; Glickman, Gordon, Ross-Gordon, 2001) is another concern for researchers looking into theoretical leadership constructs. Generally speaking, "this model is based on the premise that a person cannot live with contradictory psychological evidence—that is, thinking of himself or herself in one way while other sources of information indicate that he or she is different" (Glickman, Gordon, Ross-Gordon, 2001, p. 131). Specifically, this study must consider the role of cognitive dissonance in two ways. First, the researcher must take into account that the principal

may not always understand the ways in which others interpret his/her actions. For example, a principal may attribute negative feedback on his/her listening abilities to a completely unrelated matter regarding staff assignments. Conversely, the researcher must consider that the principal may internalize inaccurate perceptions of him/ herself as reflected by the staff. In this case, a leader exhibiting theoretical practices may not see this to be true based on his/her interactions with others.

One specific phenomenon regarding cognitive dissonance is the role of the “autocratic shift” (Sadler & Hofstede, 1972; Vroom & Yetton, 1973). This term conveys the tendency of “subordinates to describe their superiors as significantly more autocratic than the superiors report themselves to be, and even more autocratic than they (subordinates) report themselves to be” (Vroom & Jago, 1975, p. 114). In this vein, Sadler & Hofstede (1972) offer the following advice to managers:

While employees’ perceptions thus do not resemble managers’ self-perceptions, they do resemble closely the way managers perceive their own manager... The hierarchical difference appears to breed a perceptual difference. If, as a manager, you want to know how you are seen by your subordinates, do not look in the mirror. Turn around 180 degrees and look at your own boss. (p. 50)

This study will apply this advice through an active examination of the perception of subordinates in relation to principal leadership actions. Not only will this case study examine the interpretations of the staff, but will make an active effort to understand the context of these actions.

Another reported manifestation of cognitive dissonance is the tendency of both superiors and subordinates to overestimate their similarity to others (Davitz, 1955; Vroom, 1959; 1960). It has likewise been shown that the “magnitude of that tendency varies with the degree to which the subject is attracted to the person he/she is describing” (Vroom & Jago, 1975, p. 118). This perceived similarity can also result from a process called “introjection, i.e., the attribution of qualities of others to oneself” (Vroom & Jago, 1975, p. 119). In an effort to relieve these biases in research, Vroom and Jago (1975) caution that “on the grounds that the strong correspondence between subordinate self-reports and their descriptions of their superiors results from projection, it is more reasonable to question the validity of subordinate descriptions rather than self reports” (p. 119). As a result, contradictory evidence will be analyzed not only through member checks, but multiple source verification and peer review (Creswell, 1998; Yin, 1989).

The Novice Administrator: Theory and Practice

Much has been written on the importance of theoretical preparation of public school administrators. Most authors agree that administration preparation programs not only encourage reflective practice, but that it allows the student to “bridge two worlds” (Schön, 1987, p. 307). Daresh and Barnett (1993) agree, citing that a theoretical basis of preparation “allows learners to assess their personal philosophies, values, and attitudes” (p. 141). Alone, however, Daresh (1988) seems to project a bit more conservative view, focusing on the importance of ‘real world’ programs.

From various sources... comes a clear and consistent call for university administrator preparation programs to stop teaching about administration and, instead, direct attention toward helping people to learn how to

administer schools. The suggestion in most... proposals is for intense and meaningful internships, planned field experiences, and other forms of practica to be incorporated with increasing frequency in preparation programs. (p. 17)

Perhaps the most salient point in the discussion on preparation programs is that success ultimately depends on the student. Schools have produced a myriad of formal and informal training techniques, those that range from a focus on the mere management of organization to those bent on the training of educational researchers and “philosopher king” (Lutz & Merz, 1992) administrators. As Warner (1987) contends, formal training can extend and enhance an individual’s repertoire of (a) knowledge, (b) skills, and (c) values, but it is unlikely that it will produce any fundamental changes in behavior.

The realities of the workplace have been another crucial element in the discussion on preparation programs. As many have noted, there seems to be a distinct “need to bring the training process more in line with the conditions and milieu of the workplace” (Murphy & Hallinger, 1987, p. 255). Rogus, Poppenhagen, and Mingus (1980), along with Prestine & LeGrand (1991) assert the importance of developing certain “people skills” that would not only help administrators deal with their own stresses, but assist followers with theirs. Others have looked to preparation programs to help novice administrators reach a better balance between their personal and professional lives. Schein (1978), for example, looked to career development patterns that would consider the whole person, both inside and outside of the workplace.

At the university level, internship programs have been the standard panacea for much of the criticism faced by administrator preparation programs nationwide

(Anderson, 1989; Cordiero, 1995; Griffiths, 1988; Heller, Conway, & Jacobsen, 1988). The justification is that the internship allows students to place theoretical concepts into practice and learn from the consequences (Cordiero, 1995; Daresh, 1988; LaPlant, 1988; Millstein et al., 1991). However, others have argued that the pressures felt by interns are mild in comparison to those faced by novice administrators. Peterson and Finn (1985) perhaps most clearly articulate the emerging question: "Is there a valid relationship between what individuals do in universities in order to become licensed educational administrators, and the actual knowledge, skills, and competencies that they need to be effective unit managers and system leaders in the public schools?" (p. 42).

As many researchers argue, the pressure to appease everyone in an organization is common in first year principals (Gergens 1998, Leithwood & Montgomery, 1982; 1985; Rallis & Highsmith, 1986). Though dated, the truth of Derr & Chilton's (1983) argument that high school principals are often overloaded managers serving in a position, which demands great sacrifice of personal development and family time, seems accurate to this day.

Daresh (1986; 1988) champions some of the more interesting findings on the novice administrator. Not only has the first year in school administration been "marked by considerable anxiety, frustration, and self-doubt" (Daresh & Playko, 1989, p. 2), but these concerns revolved around three central areas:

- Problems with role clarification (understanding who they were, now that they were principals and how to make use of their new authority).
- Limitations on technical expertise (how to do the things they were supposed to do, according to the formal job descriptions).

- Difficulties with socialization to the profession and to the individual school systems (learning how to do things in a particular setting—“learning the ropes”) (Daresh, 1986).

Even more interestingly, in a study that compared the perceptions of aspiring administrators to those that had been involved in the profession for years, Daresh and Playko (1992) found incredible discrepancies in the perceived skills deemed necessary for the profession. Some of the major findings included that “aspiring administrators place a much higher value on the demonstration of technical skills, while practicing administrators rank these issues as least important” (Daresh & Playko, 1992, p. 9). Furthermore, “principals...indicate that they believe that it is more important for newcomers to show that they are being socialized effectively” (Daresh & Playko, 1992, p. 9). These inconsistencies lead one to believe one of two things: that there is a real disconnect between the theoretical preparation of administrators and the daily demands of the job, or that there is an important transformation that takes place between early service years of administration, and later service years.

When discussing the interplay between theoretical preparation and workplace reality of school administration, the two extreme perspectives seem evident. While one camp values the ‘real-world’ approach to problem solving and management, others look to the theory behind one’s actions as equally if not more important. Perhaps the most difficult conceptual approach is the middle road. This explores the factors, influences, and behaviors involved in the interaction of theory and practice.

Researchers have also traced the progression of novice administrators as they gain more experience. Schmidt, Kosmoski, and Pollack (1998), for example, conducted a

study which considered the changes in health and leadership style of 43 administrators over the first three years of administration. Unfortunately, however, their findings have shown a transition from shared governance and democratic management to more controlling and authoritarian styles of management (Schmidt et al., 1998). Schmidt's major findings included that "after 3 years on the job, beginning school administrators experienced detrimental personality and leadership style changes" (p. 1), "as a group, they experienced personality shifts and became more controlling, exacting, driven, and overwrought" (p. 1), and, perhaps most strongly worded, "they all became more judgmental and less perceptive" (p. 1). Schmidt et al. ultimately argue that since effective schools research has proven that administrators with a more democratic style are more effective, their autocratic shift in style was detrimental to beginning administrators.

Schmidt et al. (1998b) conducted another study (using the same sample) on the health of novice administrators, which also made very interesting findings. They found a consistent and dramatic increase in blood pressure, noting that "all beginning administrators, both building based and those in the central office, demonstrated a significant increase in diastolic pressure, suggesting that all novices are vulnerable" (p. 1). These findings convey not only the tremendous amount of stress that can be placed upon novice administrators, but lend credence to the argument that realistic preparation programs are invaluable in the ultimate success of building administrators.

Another interesting perspective on the development of novice administrators has been espoused by Palermo (2004), in an intrinsic case study of 32 novice administrators and mentors. While conceding that novice principals report feeling isolated, alone, and under scrutiny as beginning administrators adjusting to their new role (Anderson, 1991;

Palermo, 2004), he maintains that there is a transformation of skills that accompanies the acculturation process. The transformation of these theoretical leadership constructs into pragmatic instructional leadership practices is key to the success in bridging theory to practice. Rehrig (1996) takes this argument further, stating that these “on the job beginnings cannot be left to chance” (p. 5).

Chapter 2 Summary

Leaders have been shown to play an integral part in the success or failure of any organization (Leithwood & Hallinger, 1994). Moreover, school principals have been shown to have an important influence on both staff and student productivity (Blase & Blase, 1999; Blase & Roberts, 1994). However, the practice of school leadership has been criticized on many fronts. Researchers have specifically noted the increasing bureaucracy of instructional supervision (Blumberg, 1980) and the ritualistic scriptedness of the instructional supervision process (Sergiovanni, 1992).

In order to understand these criticisms, effort was made to trace school leadership theory through its bureaucratic and social systems roots into modern conceptions of instructional, transactional, and transformational leadership. Researchers have consistently noted the benefits of participation in the process of school leadership as well as the importance that theory plays in the success of real-life school leadership. However, there have also been inconsistencies noted in this approach. Specifically, literature has concentrated on the importance of individual cognitive styles, ‘people skills,’ context, and even gender as it relates to school leadership. Secondly, there have been concerns relating to the bridge between the theoretical preparation that many graduate students receive and the actual realities of the job. While the theories presented throughout this

chapter depend on a significant amount of reflective practice and meta-cognition, research has noted the pressures of accountability and urgency present in many schools as directly competing with these behaviors. These pressures have been shown to importantly influence administrator behaviors throughout the progression of their careers. Lastly, we have made mention of the transformational process that many administrators have undergone in their first year of administration, effectively transforming their theoretical leadership preparation into pragmatic and daily actions.

The modern context of accountability and legislative mandates has provided the impetus to explore the behind the scenes world of the novice building principal. Specifically, studying the use of leadership theory as it relates to the daily actions of novice principals will provide realistic answers to many of the questions raised throughout this chapter. Ideally, the key to both administrator preparation programs and the improvement of public school leadership as we know it, is knowing exactly what we are preparing our future leaders for.

Chapter 3

Methodology

Qualitative Research as a Paradigm

At the heart of qualitative research is not only a departure from the aims and intentions of traditional quantitative research, but also a significant change in the methods by which the researcher acquires, interprets, and presents data. While “traditional [quantitative] research is based on the assumption that there is a single, objective reality—the world out there—that we can observe, know, and measure” (Merriam, 1988, p. 17), qualitative inquiry revolves around the idea that there are a myriad of ways to interpret and understand human reality. “Qualitative research assumes that there are multiple realities—that the world is not an objective thing out there but a function of personal interaction and perception” (Merriam, 1988, p. 17). Through the qualitative lens, no specific view is all encompassing and objective; rather “a complex, holistic picture” (Creswell, 1998, p. 15) is developed only through a consideration of multiple perspectives and sources of data.

In his 1995 work *The art of case study research*, Stake offers a relatively concise articulation of the differences between qualitative and quantitative research.

Three major differences in qualitative and quantitative emphasis deserve attention: (1) the distinction between explanation and understanding as the purpose of inquiry; (2) the distinction between a personal and impersonal role for the researcher, and (3) a distinction between knowledge discovered and knowledge constructed. (Stake, 1995, p. 37)

Quantitative inquiry attempts to explain phenomena through a focus on the change in a small number of variables, while attempting to maintain control over all others. Ideally, a change in the dependant variable can be solely attributed to a manipulation of the independent. A randomized sample and large number of cases are efforts to ensure the generalizability of findings. Qualitative researchers have accepted the fact that in the realm of human interaction, all variables cannot always be controlled; rather their intention is to understand the multitude of variables at work within the small sample of chosen research. Likewise, qualitative researchers have chosen to acknowledge the role of the researcher not only as a participant in the system, but as a subjective interpreter of these events and situations. Finally, as Stake (1995) argues, the qualitative researcher understands that they are in the process of constructing knowledge, rather than discovering it. Understanding is achieved through generative process of interaction, rather than uncovered like a pearl in an oyster.

In this vein, John Creswell (1998) offers a comprehensive definition of qualitative research:

Qualitative research is an inquiry process of understanding based on distinct methodological traditions of inquiry that explore a social or human problem. The researcher builds a complex, holistic picture, analyzes words, reports detailed views of informants, and conducts the study in a natural setting. (Creswell, 1998, p. 15)

Several important points emerge from this definition. First is the importance of “distinct methodological traditions.” Qualitative inquiry is not a haphazard set of interpretations resulting from a given situation, rather it is a systematic investigation of a human

problem, yielding results that are useful for a consumer of research. Secondly, a “complex, holistic picture” conveys the idea that thematic conclusions are substantiated not only by data, but also by a multitude of perspectives and sources of information. Lastly, the natural setting of qualitative research gives rise to Merriam’s comment that “what one does is observe, intuit, sense what is occurring in a natural setting—hence the term naturalistic inquiry” (1988, p. 17).

Another difference between the qualitative and quantitative paradigm that must be noted is the subjective treatment of data. While quantitative researchers focus on a removal of their subjectivity, “qualitative research tries to establish an empathetic understanding for the reader, through description... conveying to the reader what the experience itself would convey” (Stake, 1995, p. 39). In other words, qualitative research recognizes the inherent humanity and bias held by the researcher. The recognition of such subjectivity is a strength of the qualitative paradigm, given that “the researcher is the primary instrument for data collection and analysis. Data are mediated through this human instrument, the researcher, rather than through some inanimate inventory, questionnaire, or machine” (Merriam, 1988, p. 19). Rather than making generalizable conclusions, “Qualitative researchers are interested in meaning—how people make sense of their lives, what they experience, how they interpret these experiences, how they structure their social worlds” (Merriam, 1988, p. 19). It is the qualitative researcher’s job to understand these processes through an all-encompassing picture. As Stake (1995) notes, “qualitative inquiry is distinguished by its emphasis on holistic treatment of phenomena” (p. 43). Ultimately, the paradigm of inquiry must reflect the method that best answers the research question.

Research Design

Merriam notes that “a research design is similar to an architectural blueprint. It is a plan for assembling, organizing, and integrating information” (1988, p. 6). He continues, “the selection of a particular design is determined by how the problem is shaped, by the questions it raises, and by the type of end product desired” (Merriam, 1988, p. 6). Several choices must be made concerning the approach that best answers the research question.

The first consideration that must be made concerning the development of a research design is whether the procedure will be experimental or non-experimental in nature. “Experimental research assumes that the researcher can manipulate the variables of interest- that is, there is a great deal of control over the research situation” (Merriam, 1988, p. 6).

Merriam (1988) next notes that the major intent of experimental research is to investigate cause and effect relationships. When variables can be controlled and manipulated at will, the researcher is able to establish with reasonable accuracy that one change is triggering another. Similarly, “In a quasi-experimental study, control is maintained to the extent possible and randomization is approximated through statistical and other procedures” (Merriam, 1988, p. 7). Though ultimately not as desirable from a research standpoint, limits on sampling ability, finances, or other constricting factors may make this approach feasible for an inquiry.

Lastly,

Non-experimental, [descriptive] research is undertaken when description and explanation (rather than prediction based on cause and effect) are

sought, when it is not possible or feasible to manipulate the potential causes of behavior, and when variables are not easily identified or too embedded in the phenomenon to be extracted for study. (Merriam, 1988, p. 7)

This research involved the attempt to understand the importance of leadership theory in real-life situations of novice administrators, and was therefore a non-experimental inquiry. Rather than developing a cause and effect relationship between the utilization of leadership theory and the success of academic programs, this investigation attempted to examine when and how these techniques are used in the often-hectic real-world school administrative environment.

The Case Study

A case study is an exploration of a “bounded system” or a case (or multiple cases) over time through a detailed, in-depth data collection involving multiple sources of information rich in context (Creswell, 1998, p. 61). Case studies reflect a long history of use across many instances and disciplines (Creswell, 1998). While there seems to be no agreed upon approach for such research, intentions for conducting such research are clear and warrant some discussion.

One notable feature of case studies is that they adhere to a relatively fluid research design. This feature is not a result of a lack of thought or necessity, but rather because “descriptive case studies...are usually inductive in nature. It is impossible to identify all the important variables ahead of time” (Merriam, 1988, p. 7). In other words, it is impossible to approach a case study with a set of pre-determined procedures because the researcher does not know what the emerging themes and issues will be. Rather, a

systematic approach must be taken to uncover these themes, and present them in a verifiable manner. Merriam remarks on the reasons for this fluidity. "Case study is a design particularly suited to situations where it is impossible to separate the phenomenon's variables from their context" (1988, p. 10). Furthermore, "the case study is preferred in examining contemporary events, but when the relevant behaviors cannot be manipulated" (Yin, 1984, pp. 19-20). As a result, the case study researcher must be comfortable with a certain amount of ambiguity when approaching his/her "bounded system," because there is little telling what will emerge when he/she gets there.

Ultimately, case study researchers must make an attempt to "do what anthropologists, social scientists, connoisseurs, critics, oral historians, novelists, essayists, and poets throughout the years have done. They emphasize, describe, judge, compare, portray, evoke images, and create, for the reader or listener, the sense of having been there" (Guba & Lincoln, 1981, p. 149). Not only did the researcher attempt to present the visceral imagery, but interpret the collected data in a meaningful way. In other words, the research attempted "to arrive at a comprehensive understanding of the groups under study" and "to develop general theoretical statements about regularities in social structure and process" (Becker, 1968, p. 233). These strategies aimed at presenting a more complete understanding of the specific cases studied, and the thematic regularities that emerge.

Merriam (1988) notes that case studies are particularistic, descriptive, heuristic, and inductive. "Particularistic means that case studies focus on a particular situation, event, program, or phenomenon" (Merriam, 1988, p. 11). The focus of the case study is not on a variety of instances, but rather fully understanding the intricacies of an

individual “bounded system.” He continues, “descriptive means that the end product of a case study is a rich, ‘thick’ description of the phenomenon under study” (Merriam, 1988, p. 11). Rather than a topical treatment of the case, the researcher must be able to understand the phenomenon at several levels, and from several perspectives. “Heuristic means that case studies illuminate the reader’s understanding of the phenomenon under study. They can bring about new meaning, extend the reader’s experience, or confirm what is known” (Merriam, 1988, p. 13). Case studies provide a generation of new knowledge through interaction and perception; they do not merely state the obvious. Lastly, “inductive means that, for the most part, case studies rely on inductive reasoning. Generalizations, concepts, or hypotheses emerge from an examination of data--data grounded in the context itself” (Merriam, 1988, p. 13). Inductive procedures move from a consideration of various parts to the consideration of the whole. Through the process of de-contextualization and re-contextualization (Tesch, 1990), the researcher was able to better understand the larger picture at work.

Authors have noted other strengths in the case study tradition that deserve attention. Primarily, case studies have the unique ability to show the reader a real life situation, rather than merely telling about it. Merriam (1988) comments, “A case study offers a means of investigating complex social units consisting of multiple variables of potential importance in understanding the phenomenon” (p. 32). Furthermore, “anchored in real-life situations, the case study results in a rich and holistic account of a phenomenon” (Merriam, 1988, p. 32). Through the case study approach, the consumer of research is provided with a unique insight into the complexity of human interaction. Another strength of the case study approach is the fact that it makes an effort to

understand these interactions within a context. “Field studies reveal not static attributes but understanding of humans as they engage in action and interaction within the contexts of situations and settings” (Collins & Noblit, 1978, p. 26). Rather than providing a sanitized abstraction of the bounded system, case studies incorporate the setting, participants, history, and perspective into the final product.

The qualitative case study tradition was chosen for the inquiry for several specific reasons. Merriam (1988) articulates three factors that should be at work when choosing a paradigm: (a) the nature of the research questions; (b) the amount of control; and (c), the desired product (p. 9). As this was a human inquiry attempting to understand a specific system bound by time and place, the case study was the approach that best answered the research question. Furthermore, as this research attempted to understand processes at work within a given system (a school), the researcher had little if any control over the interactions taking place, interpretations made by the subjects, or the emerging themes depicted by the data. Lastly, the desired product of this research was a greater understanding of the issue (presence of leadership theory in leadership actions of novice school principals), which the three chosen cases were selected to exemplify.

Of course, one of the biggest factors at work in choosing the case study tradition is that “he or she must decide what bounded system to study... and realizing that either the case itself or an issue, for which a case or cases are selected to illustrate, is worthy of study” (Creswell, 1998, p. 63). This research not only illuminated the presence of leadership theory in a case bounded by time and place (Creswell, 1998), but has the ability to produce serious implications for administrative training programs, leadership academics, and higher education training programs in general.

The Bounded System

In his conception of the “bounded system,” Stake (1995) uses the Greek symbol Θ “thinking all the while that Θ has a boundary and working parts” (1995, p. 2). An important aspect of this perspective is that Θ not only becomes a tangible object of study, but within its boundaries contains fluid systems at work. Much like a human cell, Θ not only can be observed from the outside as an object, but from the inside as a process.

There are several ways by which the researcher may approach Θ , depending on the information sought. When the researcher’s interest is to learn about a particular case, the approach is termed an “intrinsic case study” (Stake, 1995; Yin, 1989). When the actual case is of less importance than an issue being studied, it is termed an “instrumental case study” (Stake, 1995). Lastly, in a “collective case study” (Stake, 1995), each case study is instrumental to learning about the central phenomenon, and there will be an important coordination between the individual studies. For example, Lutz and Merz (1992), in their articulation of the dissatisfaction theory, chose several specific case studies of schools undergoing similar transitions. The importance of their ideas was not in the cases themselves. Rather, the cases served to illustrate a central concept that they were trying to understand.

The Multiple Case Study

This research pursued a collective approach (Stake, 1995). The specific number of administrators was chosen purposefully for the following reasons: (a) the evidence from multiple cases is often considered more compelling, and the overall study is therefore regarded as being more robust (Yin, 1984), (b) three cases, though potentially extensive in terms of data collection, will provide not only dimensionality to the study, but allow

the researcher to develop a more complete picture of the transition from theoretical models of leadership to practical strategies, and (c), the use of multiple cases best answers the central research question. While this research made an attempt to understand the processes at work within and between these respective schools, it did not attempt to generalize these processes to other schools, or other cases.

Obviously, “the most straightforward examples of ‘bounded systems’ are those in which the boundaries have a common sense of obviousness” (Adelman, Jenkins, and Kemmis, 1983, p. 3). Individual schools are reasonable venues primarily bounded by time and place. Therefore, it seems obvious that individual schools should be considered the “systems” of inquiry.

When considering the number of cases for analysis, various authors have warned that “the study of more than one case dilutes the overall analysis; the more cases an individual studies, the greater the lack of depth in any single case” (Creswell, 1998, p. 63). Moreover, “what motivates the researcher to consider a large number of cases is the idea of generalizability, a term that holds little meaning for most qualitative researchers” (Creswell, 1998, p. 63). The intent of this research was not to produce generalizable results. Rather, the researcher was interested in studying enough cases to lend perspective to the central phenomenon without overwhelming the researcher or watering down the poignancy of findings.

The Case

Though the case has been termed “ Θ ” (Stake, 1995), or “a bounded system” (Merriam, 1988; Smith, 1978; Stake, 1995; Yin, 1984), ultimately the researcher must realize that a case is “what it is you want to be able to say something about at the end of

the study” (Patton, 1980, p. 100). As stated earlier, a case should not only be conceived as an object, but also a process. In other words, “the case is a specific, a complex, functioning thing” (Stake, 1995, p. 2). Merriam (1988) goes a step further in delineating the boundaries of a case. “The focus of research in a case study is on one unit of analysis. There may be numerous events, participants, or phases of a process subsumed under the unit” (p. 46). Guba and Lincoln (1981), however, relate this binding process to prospects for data analysis. “These boundaries are sharply constrained so that there is no question what variables are to be studied, what questions are to be asked, or what hypotheses are to be tested” (p. 86). This collective case study explored the leadership realities in three bounded systems throughout a nine-day period.

Two important cautionary notes emerged as this research progressed. First, there has been some disagreement among researchers about the role of the individual subject in case study research. Creswell comments, “although Stake (1995) refers to an individual as an appropriate “case,” I turn to the biographical approach or the life history approach in studying the single individual” (Creswell, 1998, p. 114). When studying an individual, it seems that the best policy is to bind one’s system around an individual’s reaction or involvement in a specific event. If the individual rather than the event is the focus of the study, perhaps the biography or life history would be a better option.

Another note that was considered for this research was the idea of conducting research that examines “your own back yard--within your own institution or agency, or among friends or colleagues” (Glense & Peshkin, 1992, p. 21). The benefits of conducting such research seem clear. “Undoubtedly, qualitative researchers bring their values, biases, and understandings to a project, and intimate knowledge of a setting may

be an asset” (Creswell, 1998, p. 114). Creswell follows with an articulate statement concerning the dangers of such an approach.

Studying such people or sites establishes expectations for data collection that may severely compromise the value of the data; individuals might withhold information, slant information toward what they want the researchers to hear, or provide ‘dangerous knowledge’ that is political and risky for an ‘inside’ investigator. (1998, p. 114)

This second note had implications for the proposed study, though was not considered relevant enough to present significant problems. As the cases were taken from a selection of schools with working novice administrators, there was little if any chance the researcher had come into contact with these subjects in any way, other than in completely academic rather than professional situations. Furthermore, though the researcher was a student of Educational Leadership at the University of Montana, he was not involved in the administrative certification process in any capacity.

The fact that the researcher was a student of The University of Montana, however, did provide some considerable benefits. Not only were sampling processes and access issues considerably simplified, but working professors at the University were thought to find substantial value in the findings of the research. Implications for program development, curriculum, and technique connected the researcher to both secondary leadership and higher education curriculum implications.

The Sample

The sampling process in this multiple case study followed the method of purposeful sampling (Creswell, 1998). As such, the subjects were chosen from a list

provided by The Montana Office of Public Instruction, containing all administrators within one year of certification and in their first year of practice. An effort was made to choose cases (novice administrators and their respective schools) that were similar in terms of school size, type, student characteristics, and faculty expectations. Additionally, effort was made to choose schools undergoing the process of change. This may include, but was not limited to: curricular revisions, district resizing, staff changes, etc. The issue of change was noted because of its close relation to leadership, rather than management, actions (Diskul, 2001; Kotter, 1990). The process for data collection and analysis followed replication logic (Yin, 1984). Requisitely, the analysis followed cross-experiment in addition to within-experiment design and logic (Yin, 1984). It is important to note that the similarities of schools and their characteristics was not be made with sampling logic in mind, but rather an attempt to develop naturalistic generalizations within/ between these settings and places.

Purposeful sampling differs from traditional sampling methods in a variety of important ways. Traditional quantitative research makes use of probability sampling, whereby the researcher can calculate the probability of choosing an individual subject. "Probability sampling (of which simple random sampling is the most familiar example) allows the investigator to generalize results of the study from the sample to the population from which it was drawn" (Merriam, 1988, p. 47). However, Merriam notes that "Since generalization in a statistical sense is not the goal of qualitative research, probabilistic sampling is not necessary even justifiable in qualitative research" (Merriam, 1988, p. 48). Stake affirms this perspective. "Case study research is not sampling research. We do not study a case primarily to understand other cases" (1995, p. 4). Case

study research utilizes purposeful sampling because it has as a priority the understanding of many, if not all of, the variables in a chosen system, and does not intend to generalize findings to other populations.

There are many approaches a qualitative researcher can take with regards to his/her sampling process. For the most part, however, they are all subsets of the umbrella term “nonprobability sampling” (Chein, 1981). “In nonprobability sampling there is no way of estimating the probability that each element has of being included in the sample and no assurance that every element has some chance of being included” (Chein, 1981, p. 423). Merriam (1988) refers to criterion sampling: “Criterion based sampling requires that one establish the criteria, bases, or standards necessary for units to be included in the investigation; one then finds a sample that matches the criteria” (p. 48). Another common purposeful sampling process is quota selection, where researchers “identify the major, relevant subgroups of some given universe, then proceed to obtain some arbitrary number of participants in each category” (Goetz & LeCompte, 1984, p. 79). Lastly, extreme case selection is popular in the case study tradition. In this technique the researcher “seek(s) instances reflecting the extremes, or poles...so that comparisons against the norms can be made” (Goetz & LeCompte, 1984, p. 81). Ultimately, however, the responsibility of the sampling process rests with the needs of the researcher. Burgess (1982) offers this advice: the researcher needs to “consider where to observe, when to observe, whom to observe, and what to observe. In short, sampling in field research involves the sampling of a research site, time, people, and events” (p. 76).

Access

The issue of access to the sample has already been discussed to some extent, but deserves further attention. The identified gatekeepers for this study included both the superintendents of the chosen school districts (as gatekeepers to the principals), and principals (as gatekeepers to the staff). Superintendents were contacted via mail, and provided with a brief description of the research (Appendix E). With their permission, the novice principals were contacted via mail, provided with a description of the research, as well as a consent form for the data collection and interview process (Appendix H). Upon gaining access to the school, the researcher introduced himself to the staff, and provided a description of the research to the pertinent teaching staff. While introducing the research to both the administrator and the teaching staff, effort was made to describe the benefits of this research to the school. It was explained that this study would not only help the each administrator understand his daily actions in regard to contemporary leadership theory, but also aid in his development as a reflective practitioner. Of critical importance was the fact that both teachers and administrators are given full disclosure of IRB guidelines as well as assured of their confidentiality during the introduction and opening statements (Appendix A).

Gaining access to a case is a rather invasive process. As Stake comments, “most educational case study data gathering involves at least a small invasion of personal privacy” (1995, p. 57). Common consideration dictated that the researcher, while being thorough in his/her research, maintained a positive relationship with the subjects involved in the study.

An important organization in the attempt to gain access for this study was the University of Montana's Institutional Review Board (IRB). While the primary responsibility of this organization is to safeguard any ethical concerns that might emerge from data collection, research could only proceed with its approval. All subjects involved in this study are adult volunteers, and will be reminded of their confidentiality before and during the research process. Therefore, there were no relevant ethical dilemmas present.

Another important aspect in the attempt to gain access to the case is referred to as the "gatekeeper" (Creswell, 1998). Creswell notes that "access typically begins with a "gatekeeper," an individual who is a member of or has an insider status with a group" (Creswell, 1998, p. 117). For the researcher's communication with the gatekeeper, Bogdan and Biklen (1992) offer several points that should be addressed.

Information to be Provided to the Gatekeeper

- Why the site was chosen for the study.
- What will be done at the site during the research study (time and resources required by the participants and amount of time to be spent at the site by the researcher)?
- Will the researcher's presence be disruptive?
- How will the results be reported?
- What will the gatekeeper gain from the study?

In his conception of the bureaucratic nature of acquiescence, Stake notes that "although individuals often immediately acquiesce if a superior has granted permission, a brief written description of the intended casework should be offered" (1995, p. 57).

Ultimately, though, communication is the key to access to any site. “The procedures for gaining access are based on the enduring expectation that permissions are needed” (Stake, 1995, p. 57). With professional courtesy and reasonable expectations from both sides of the process, the process of data collection should be a rewarding process for both researcher and subject.

When entering the field for the first time, there seems to be an immediate rush to gather as much data as possible as quickly as possible. However, Stake (1995) cautions against this temptation. “With most studies, there is a hurry to get started, yet a quiet entry is highly desirable” (p. 59). Instead, the process should be given ample time, relationships secured, and the researcher should approach the situation in a natural manner. “Opportunity should be taken early to get acquainted with the people, the spaces, the schedules, and the problems of the case” (Stake, 1995, p. 59). Once these preliminary steps were taken, the researcher found his data emerged much more easily and naturally than the alternative.

Data Collection Procedures

Stake notes of the data gathering process in a case study that “there is no particular moment when data gathering begins” (1995, p. 49). Instead, the researcher was constantly looking for new ways to understand his bounded system. “He or she lets the occasion tell its story, the situation, the problem, resolution, or irresolution of the problem” (Stake, 1995, p. 62). The qualitative researcher kept all sources of data—sights, sounds, observations, and interpretations-- in mind when generating his depiction of the case.

The use of several methods of observation and data collection springs from Creswell's (1998) conception of "verification," also termed "credibility," "transferability," dependability," and "confirmability" (Lincoln & Guba, 1985). Eisner adds to the discussion, stating "we seek a confluence of evidence that breeds credibility, that allows us to feel confident about our observations, interpretations, and conclusions" (Eisner, 1991, p. 110). This process grows more complex as "a case study involves the widest array of data collection as the researcher attempts to build an in-depth picture of the case" (Creswell, 1998, p. 123). The most common method to achieve this is through triangulation (Mathison, 1988), or the utilization of different data sources.

In his discussion of the utilization of several data sources, Patton (1980) offers a virtual laundry list. "Detailed descriptions of situations, events, people, interactions, and observed behaviors; direct quotations from people about their experiences, attitudes, beliefs, and thoughts; and excerpts or entire passages from documents, correspondence, records, and case histories" (p. 22). Likewise, Yin (1989) offers six credible sources of data that should be included in a comprehensive case study: (a) documents, (b) archival records, (c) interviews, (d) direct observation, (e) participant observation, and (f) physical observation. Other researchers have offered the use of both unsolicited and solicited personal documents relating the subject's perception of meaning (Blumer, 1969; Bogdan & Taylor, 1975; Glazer & Strauss, 1967; Meltzer, 1975; Strauss & Corbin, 1990). Allport (1942) suggests that an open-ended questionnaire is a useful personal document for qualitative research that focuses on the subjective perceptions of people. Such an instrument is defined as "any self-revealing document" (Blase & Blase, 1999, p. 356). Obviously, in an attempt to build a more complete conception of the case, collected data

took into account SES status of the community, recent political changes, diversity, and other community trends.

In addition to specified methods of data collection, the researcher approached each case with a certain amount of fluidity in the data gathering process. “The good qualitative researcher looks and listens everywhere” (Merriam, 1988, p. 40). Notes revealing the myriad of interactions, observations, and perceptions of the participants painted a more complete picture of the case.

As stated earlier, the process for data collection and analysis followed replication logic (Yin, 1984). Requisitely, the analysis followed cross-experiment in addition to within-experiment design and logic (Yin, 1984). It is essential to note that the selected cases were not meant to represent a larger pool of respondents, but merely to aid in cross-case analysis (Yin, 1984).

Data Sources

- Documentation
 - Related e-mail communication
 - Meeting Minutes
 - Related notes, letters, and other written communication
 - Progress Reports
 - News Media
- Archival Records
 - School Records and Service Records
 - Maps and Geographical Information
 - Personal Records

- Interviews
 - Administrators
 - Member checks
 - Daily debriefing
 - Exit interview
 - Teachers
 - Observations
 - Subsequent interviews
 - Superintendent
 - Brief and general opinions
- Direct Observations
 - Meetings
 - Interactions
 - Physical Observations (Buildings, Geography)
- Physical Artifacts
 - Myers Briggs Type Indicator (Form M: Self Scorable)

Interviews

Taking a primary role in the data collection process were semi-structured interviews with various subjects within the cases involved in the research (Appendix C). Burgess (1982) originally described the interview as “a conversation with a purpose.” Patton (1980) agrees, but comments further on the ultimate goal. “The purpose of interviewing is to find out what is in and on someone else’s mind” (p. 196). The reasons for choosing the interview as the primary source of information were ultimately

dependent upon the original research question. "Interviewing is the preferred tactic of data collection when... it will get better data or more data or data that is at less cost than other tactics" (Dexter, 1970, p. 11). In this specific project, the researcher was interested in the utilization of leadership theories in the real-world leadership actions in the school. In other words, though the context of these cases was very important, of primary meaning (the central idea of research) was the description of a phenomenon occurring in various cases. Therefore, the intentions, feelings, and interpretations of those involved in the leadership actions were of ultimate importance in data collection.

The semi-structured interview was the preferred technique of data collection.

Merriam describes the semi-structured interview as follows:

In the semi-structured interview, certain information is desired from all the respondents. These interviews are guided by a list of questions or issues to be explored, but neither the exact wording nor the order of the questions is determined ahead of time. (Merriam, 1988, p. 74)

Though this approach did guide the conversation to topics that the researcher was interested in, it also allowed the subject to express other thoughts and concerns that may have been important to the overall conception of the case.

There are several issues that must be considered when analyzing the interview process. The researcher must first be acutely aware of the state of the interviewee. "Several factors may influence an informant's responses, factors that may be difficult for the researcher to discern" (Merriam, 1988, p. 84). Merriam begins to note some of the more common variables at work. "The informant's health, mood at the time of the interview, and so on may affect the quality of the data obtained, as might an informant's"

ulterior motives for participating in the project” (Merriam, 1988, p. 84). Dexter (1970) condenses this list to three important variables: the personality and skill of the interviewer, the attitudes and orientation of the interviewee, and the definition of both (and often by significant others) of the situation. Efforts were made to conduct interviews with the convenience and contentment of the interviewee in mind.

In addition to providing for the convenience of the interviewee, the researcher also made an attempt “not to put things in someone else’s mind but rather to access the perspective of the person being interviewed” (Patton, 1980, p. 196). This verification was established by “occasionally rephras[ing] and reflect[ing] back to the informant what he seems to be expressing and to summarize the remarks as a check on understanding” (Whyte, 1982, p. 112). Furthermore, in an attempt to strictly control any bias which would emerge during the data collection, interview questions were modeled after the Leadership Behavior Questionnaire (LBDQ) (Halpin, 1957).

Superintendent Interviews

As perspective has been shown to be an influential factor in the recollection of leadership style/ action (Vroom & Jago, 1975), there was be an initial, brief, interview with the Superintendent before data was collected within the school. Questions included general statements concerning both the cognitive style of the administrator, and the reality of the position, such as:

- What can you tell me about this administrator?
- What can you tell me about the realities/ context of the position?

This initial interview served two purposes. Not only did it provide a macro-perspective on the bounded system that was to be studied during the following days, but also aided in the development of an inquisitive and non-threatening approach to the case.

Teacher Interviews

Upon introducing himself and the research, the researcher requested teachers to sign voluntary consent forms for the observation and interview processes. Subsequently, teachers were chosen for individual interviews based on their association to the events and issues that arose during data collection. In his approach of the subjects, the researcher made a specific effort to observe and interview those who seemed to have differing perceptions of any issues that arose. Of specific importance to the researcher were:

- Body language of a teacher during a meeting or interaction with the administrator.
- Teacher comments and/or actions (both covert and overt) that reflected their support/ disagreement with the administrator's leadership actions.
- Attendance during staff meetings and/or other required events.
- Specific individuals who were mentioned during debriefing/ interview periods with the administrator.

The researcher also attempted to interview teachers who interacted with the novice administrator on a consistent basis. This not only acted as a triangulation measure (Creswell, 1998; Mathison, 1988; Stake, 1995), but aided in the understanding of the realities of the administrator's leadership posture as it related to the staff. Observations acted as a guide for the researcher to subsequently approach teachers for interviews.

These interviews and observations were not only used as a data source, but also as a validity check against the perceptions of the leader (Creswell, 1998; Salkind, 2003).

Upon selection for an interview, teachers were asked specific questions concerning the observation made by the researcher. Questions revolved specifically around particular incidents, such as:

- I noticed this specific action/ body language... How did you feel about this interaction?
- Why do you think the leader acted in this specific way?
- Can you think of any influential factors involved in the administrator's chosen actions?

Administrator Interviews

As with the general data gathering process, the researcher developed his research questions with a certain amount of fluidity. These interview questions directly related to the central focus of the research.

Two types of sub questions emerged from case study literature. First, "issue sub questions address the major concerns and perplexities to be resolved" (Creswell, 1998, p. 101). These were the questions that revolved around the amount of influence leadership theory has on the actions taken by the novice principal. Second, "topical questions call for information needed for description of the case" (Stake, 1995, p. 25). These questions provided structural support for the emerging themes in the case. In other words, they had the responsibility of providing a context for the responses given.

Stake (1995) further articulates the interview process with a conception of emic and etic issues. "Emic issues" Stake comments, "are the issues of the actors, the people

that belong to the case” (Stake, 1995, p. 20). In other words, these were the issues as perceived by those involved directly in the case; they were generally pragmatic and relatively non-academic. On the other hand, the researcher also brought his own issues and perspectives to the case. “Etic issues are the researcher’s issues, sometimes the issues of a larger research community, colleagues and writers” (Stake, 1995, p. 20). In other words, these were the perspectives of academia; theoretical reflections of the codified body of knowledge. The researcher, through the interview process, had as his goal, to “depart in the field from the conventional views as to what is important, but ultimately relating the emic to the etic issues of their discipline” (Stake, 1995, p. 20). The researcher also had the responsibility to pull apart and reconnect the theoretical and practical components of the case.

One of the most difficult aspects of case study research is that “the transition from stage to stage, as the investigation unfolds, occurs as the problem areas become progressively clarified and redefined. The course of study cannot be charted in advance” (Stake, 1995, p. 22). However, this does not mean the researcher should walk blindly into the interview process. “Trying out the questions in pilot form, at least in mental rehearsal, should be routine” (Stake, 1995, p. 65). Furthermore, in the development of his interview questions, the researcher made an early attempt to ask questions that could be related from case to case because “in collective case study an early commitment to common topics facilitates later cross-site analysis” (Stake, 1995, p. 25). As with other data collection procedures, this process was evocative of a balance between planning and unfolding.

The interviews were recorded on audio tape, after which, the researcher transcribed the comments verbatim to a word document. Not only is audio taping the most common method of recording (Merriam, 1988), but this practice ensures that everything said is preserved for analysis (Creswell, 1998). Though researchers have questioned the influence of the recording equipment on the honest responses of the subject “most researchers find...that after some initial wariness respondents tend to forget they are being taped” (Merriam, 1988, p. 81).

The benefits of this approach far outweighed the drawbacks. The most common drawbacks to audio taping are relatively straightforward: “Malfunctioning equipment and a respondent’s uneasiness with being recorded are the drawbacks” (Merriam, 1988, p. 81). The benefits, however, made the effort worthwhile. First, the researcher had the ability to take notes regarding the expressions, posture, or other important details of the interview that may be missed through note taking. In this vein, Stake (1995) notes “to develop vicarious experiences for the reader, to give them a sense of ‘being there,’ the physical situation should be well described” (p. 63). It is with these supplemental notes that the researcher achieved a truly layered representation of the data. Secondly, by audio taping, “the interviewer can also listen for ways to improve his or her questioning technique” (Merriam, 1988, p. 81). As case study research has been articulated thus far as a process as much as product, this point became an important one.

Justification for Administrator Interview Questions

Theoretical models of instructional, transactional, and transformational leadership have been shown to converge at a point of increased personal and emotional relationship between leaders and subordinates (Glickman, Gordon, Ross-Gordon, 2001, Leithwood,

1995). However, these trends seem in direct opposition to the bureaucratic tendencies reflected by structural design, recent accountability measures, testing practices, and legislative mandates. Furthermore, little is known about the reflective process of novice administration in regard to theoretical preparation. For these reasons, the administrator was the primary source of data collection, described as follows. Data collection from interactions with the novice administrator took place on three levels:

1. Observation and immediate member check/ informal questioning. Subsequent to any observed meeting/ interaction with staff, the researcher followed with immediate perception clarification questions such as:

- “How did that feel?”
- “How do you think that went?”
- “Why did you approach the situation in this way?” “
- What influences caused you to act in this way?”
- “What were you trying to accomplish through this approach?”

The tone during this questioning was informal and open.

2. Daily incident/ situation debriefing. The researcher requested that at the end of each day of data collection, the administrator participate in a debriefing interview in which he will be able to articulate some of his reflective thoughts on any noted interactions and situations that occurred throughout the day and/or have emerged in the data collection. The researcher directed this conversation in a reflective, documentary tone, first referencing specific situations that have occurred, then drawing the questions out into larger emerging patterns. Hence, the novice administrator had the opportunity to reflect upon and rationalize his/her leadership actions. In order to

explore this more fully, the following questions were asked of the building administrator. These questions represented an unbiased inquiry into ideal leadership behavior, as modeled by the Leadership Description Questionnaire (LBDQ-Ideal) (Halpin, 1957). LBDQ questions have been used as a framework for the ensuing conversation, as the administrator was asked to comment on the relative importance of each in his/her professional practice.

- Instructional Leadership
 - Knowledge of human growth and development.
 - Ruling with an iron hand.
 - Being friendly and approachable.
 - Finding time to listen to staff members.
 - Backing up the members in their actions.
 - Understanding of group dynamics.
- Transactional Leadership
 - Understanding of interpersonal relationships.
 - Doing little things to make it more pleasant to be in the group.
 - Doing personal favors for the staff.
- Transformational Leadership
 - Trying out new ideas with the staff.
 - Making his/her attitudes clear to the staff
 - Speaking in a manner not to be questioned.
 - Keeping the staff informed.
 - Acting without consulting the staff.

- Putting suggestions made by the group into operation.
- Letting other people take away his/her leadership.
- Getting approval in important matters before going ahead.
- Being willing to make changes.

3. *Exit interview*. The exit interview represented a more formal semi-structured interview process, delving into more deeply held convictions regarding leadership action in regard to theoretical leadership models.

The first years of administrative duties have been marked by considerable anxiety reflected in three areas: (a) problems with role clarification, (b) limitations on technical expertise, and (c) difficulties with socialization to the profession and to individual school systems (Daresh et al., 1992). These apprehensions and any subsequent resolutions reflect a process of transformation whereby beginning administrators are not only 'learning the ropes' of the profession, but also coming to terms with the realities of daily practice. Daresh and Playko (1992) also found incredible discrepancies in the perceived skills deemed necessary for the profession. Some of the major findings included that "aspiring administrators place a much higher value on the demonstration of technical skills, while practicing administrators rank these issues as least important" (Daresh & Playko, 1992, p. 9). Furthermore, "principals...indicate that they believe that it is more important for newcomers to show that they are being socialized effectively" (Daresh & Playko, 1992, p. 9). These inconsistencies lead one to believe one of two things: that there is a real disconnect between the theoretical preparation of administrators and the daily demands of the job, or that there is an important transformation that takes place between early service

years of administration, and later service years. To engage the administrator in this discussion, the following questions were asked:

- Before you stepped into this position, what did you expect?
- Has your conception of school leadership changed since you entered the profession?
 - a. If so, how?
- Have you changed since you entered the position of principal?
 - a. If so, how?
- Have you used your theoretical administrative preparation in your everyday leadership actions?
 - a. If so, how?
- How do you inspire organizational change?
- In what ways do you influence and motivate your staff?
- Do you see a difference between your urgent and important leadership activities?
 - a. If so, how do you balance the two?
- Do you use theoretical models of leadership in your everyday actions?
 - a. How?

Daresh and Playko (1992) note that the most common focus of research regarding novice administrators has been to focus on what novice administrators should do, rather than articulating the actions taken and their contextual nature. As such, qualitative research makes a distinction between explanation and understanding as the purpose of inquiry (Stake, 1995). The following questions were intended to elicit a reflective understanding of actions taken by the administrator in a specific situation.

- Can you think of any specific situations in which you used theoretical knowledge gained in your preparation program to carry out your leadership duties?
 - a. In this situation, why did you resort to your preparation?
 - b. How did the situation resolve itself?
- Can you think of any specific situations in which you chose not to use knowledge gained in your preparation program to carry out your leadership duties?
 - a. In this situation, why didn't you resort to your preparation?
 - b. From your perspective, how did the situation resolve itself?

Instructional Leadership (Glickman, Gordon, Ross-Gordon, 2001), Transactional Leadership (Bass, 1995; Burns, 1978), and Transformational Leadership (Leithwood, 1995) call for differing amounts of engagement and fluidity in the relationship between leader and follower. This fluidity is often expressed and reflected through professional development practices and the supervision process. To elicit thoughts and feelings in regard to this aspect of leader/ follower interactions, the following questions were asked.

- Do you concern yourself with the personal development of teachers?
 - a. If so, how is this manifested in your daily leadership practices?
- Tell me about the ways in which you encourage the professional development of the staff.
 - a. Do you seek out the ideas, insights, and expertise of teachers in these areas?
 - b. Do you share responsibility for these decisions?
- Do you utilize an exchange of rewards for compliance in your leadership actions?
 - a. How?

- Please describe your evaluation process for staff.
 - a. How do you see your role with regard to professional development?
 - b. What has been your most difficult supervision issue?

Observations

Observation is a data collection tool that must be very carefully applied to each case. Kidder (1981) comments that “observation is a research tool when it 1, serves a formulated research purpose, 2, is planned deliberately, 3, is recorded systematically, and 4, is subjected to checks and controls on validity and reliability” (p. 264). Systematic recording and checks for validity are two extremely important issues in the use of observation. Any direct interpretations made from such observations were substantiated through triangulation procedures such as coded interviews, documentation, or external checks.

Merriam (1988) cites various subjects for observation such as the setting, participants, activities and interactions “connected or interrelated—either from the participant’s point of view or from the researchers perspective” (pp. 90-91), frequency and duration “is it a recurring type of situation, or unique?” (Sellitz, Jahoda, Deutsch, and Cook, 1959, p. 210), and other “subtle factors” (Patton, 1980, p. 155). These “subtle factors” can include “informal and unplanned activities, symbolic and connotative meanings of words, nonverbal communication such as dress and physical space, unobtrusive measures such as physical clues, and finally, what does not happen” (Patton, 1980, p. 155). Such is the expanse of information that the case study researcher has as potential data.

Field Notes

Field notes were taken in a manner that separates observation and interpretation (Appendix D). Through a table method, observations were distinguished from the researcher's interpretations, so as to leave open the possibilities for alternate interpretations.

Documents

Documents such as school records, patterns of participation, etc. were used, though they did not represent a substantial part of the data. Documents have several advantages to traditional interview and observation techniques. "Unlike interviewing and observation, the investigator does not alter what is being studied by his or her presence" (Merriam, 1988, p. 108). Furthermore, "documentary data are "objective" sources of data compared to other forms" (Merriam, 1988, p.109). While documents can be easier to interpret through the coding process, the applicability of their content oftentimes can limit their usefulness. Additionally, the interactive nature of observations and interviews was beneficial to the researcher. This research used documentation for triangulation purposes, in order to develop the verification of more useful data.

The Role of the Researcher

When discussing all data collection techniques, the role of the researcher must be taken into account. Specifically in a case study, the researcher must walk a fine line between a subjective participant and an objective interpreter. On one hand the researcher must immerse himself in the case, but on the other he must remain sufficiently detached to observe and analyze (Merriam, 1988). Though he researched a human situation, the researcher made sure he did not change the situation in any way that might affect the data

(Bogdan, 1972). Patton draws an even finer line regarding the subjective/objective interface. “The question is not whether the process of observing affects what is observed but rather how to monitor those effects and take them into consideration when interpreting the data” (Patton, 1980, p. 189).

Likewise, the approach of the researcher conveyed a completely ambivalent manner. Merriam (1988) comments on this posture.

If participants are apprehensive about being judged, they may respond in socially desirable ways; if participants are aware of being assessed, they may behave in response to the assessment conditions; and finally, participants may regulate their behavior from feedback obtained from the observers. (p. 95)

So the researcher was not only cognizant of his approach to the observation, but also the messages he sent through their continual interactions with the subjects. Taylor and Bogdan (1984) offer a possible solution to aid the researcher in this effort, to “shift from a “wide angle” to a “narrow angle” lens—that is, focusing on a specific person, interaction or activity, while mentally blocking out all the others” (p. 54). In describing the case not only through the perspectives of those involved, but also in a macro-perspective, the researcher was able to understand these processes in a detached and objective manner.

One of the most noted approaches to the data collection process involved establishing an empathetic relationship with the subjects of study. “A good communicator empathizes with respondents, establishes rapport, asks good questions, and listens intently” (Merriam, 1988, p. 39). Qualitative research recognizes the inherent

subjectivity and overt influence the researcher has on his/her environment. Therefore, “hallmarks of outstanding anthropological and sociological studies to date have been the empathy with which they have presented major actors, performers, and informants” (Guba & Lincoln, 1981, p. 140). An empathetic, nonjudgmental, amicable approach not only to the interviewing process, but to observation strategies in general allowed the researcher to gain access to areas and people he would be otherwise unfamiliar with. “Successful boundary spanning requires familiarity with, or at least the ability to become familiar with, the behaviors, goals, and beliefs of all constituencies that influence a project” (Goetz & LeCompte, 1984, p. 100). Though subjective in nature, proper data gathering techniques combined with procedures for analysis, listening “to many individuals and points of view that value-resonant social contexts can be fully, equitably, and honorably represented” (Guba & Lincoln, 1981, p. 142).

Process for Data Analysis

As “data can be a holistic analysis of the entire case or an embedded analysis of a specific aspect of the case” (Creswell, 1998, p. 63), this research pursued an embedded analysis of the presence of leadership theory in situational leadership actions of novice principals. Data was coded according, but not limited to: the use of instructional, transactional, and transformational leadership theories in daily action. Data was collected through the utilization of three specific cases, and emerging issues were considered both separately and collectively in an attempt to understand the stated features of the theories.

Much like the data collection process, data analysis was emergent and fairly fluid. “One does not know whom to interview, what to ask, or where to look next without analyzing data as they are collected” (Merriam, 1988, p. 123). However, there are two

important bodies of knowledge that the researcher made an effort to define. “Two strategic ways that researchers reach new meanings about cases are through direct interpretation of the individual instance and through aggregation of instances until something can be said about them as a class” (Stake, 1995, p. 74).

The first method of data analysis was termed as direct interpretation. This level of data concentrated on individual occurrences. “In direct interpretation...the case study researcher looks at a single instance and draws meaning from it without looking for multiple instances” (Stake, 1995, p. 74). This type of analysis looked at the meaning of significant events. “The qualitative researcher concentrates on the instance, trying to pull it apart and put it back together again more meaningfully—analysis and synthesis in direct interpretation” (Stake, 1995, p. 75). While an emphasis on individual events gave the researcher an understanding of the building blocks of the case, the second form of analysis looked to build on these instances.

As Stake (1995) comments, “sometimes, we will find significant meaning in a single instance, but usually the important meanings will come from reappearance over and over” (p. 78). Therefore, the second method in the analysis of data was an attempt to thematically connect the individual events. Stake (1995) terms this process categorical aggregation. “In categorical aggregation, the researcher seeks a collection of instances from the data, hoping that issue-relevant meanings will emerge” (Creswell, 1998, p. 154). Ultimately, it became clear that both methods of scrutiny could yield important data concerning the case, and therefore both were used in the final analysis.

Bias

While not accepting it blindly, the researcher made an attempt to acknowledge the presence of any inherent bias in the research. As a doctoral candidate at the University of Montana, the researcher carried with him a large amount of theoretical knowledge, compounded by research related to this project. Though this does represent a “lens” through which the researcher observed his subjects (Creswell, 1998), the sensitivity and perception of the utilization of leadership theory acted as an asset in this study. A liability, however, rested in the fact that the researcher actually may have observed these practices during instances in which it did not occur. This bias and possible weakness in the study was addressed during data analysis through member checks and peer review.

Though interviews produced the bulk of the data, observations also provided a substantial amount of contextual information. One important point deals with the perspective of the researcher. “As an outsider an observer will notice things that have become routine to the participants themselves, things which may lead to understanding the context” (Merriam, 1988, p. 88). Furthermore, more than interviews, “observational techniques yield data that pertain directly to typical behavioral situations” (Sellitz, Jahoda, Deutsch, & Cook, 1959, p. 201). It is specifically these “behavioral situations” that interviewees may not have felt compelled to discuss during a direct interview (Merriam, 1988).

Considerable attention was also given to the nature of the interview questions themselves. While the informal member checks and daily debriefing focused on a consideration of the events surrounding each case, the specific interview questions were modeled after the LBDQ (Halpin, 1957) in an attempt to minimize any bias present in the

wording of the questions. Phrasing of interview questions was also included in the transcribed interviews for subsequent analysis.

Naturalistic Generalizations of Data

Whether qualitative or quantitative, the research process must have at its basic level an attempt to reduce data to important thematic units. Wolcott (1990) puts this into perspective for qualitative researchers. "The critical task in qualitative research is not to accumulate all the data you can, but to "can" (i.e., get rid of) most of the data you accumulate" (1990, p. 35). Stake (1995) refers to this theme development in case study research as naturalistic generalization. "Naturalistic generalizations are conclusions arrived at through personal engagement in life's affairs or by vicarious experience so well constructed that the person feels as if it happened to themselves" (Stake, 1995, p. 85). Two important ideas emerge from this concept. First is the idea that these generalizations are representative of what a person would feel if he/she were directly involved in the case. In other words, the generalizations made by the researcher have to make sense to the common person. Secondly, these generalizations must have a utility to the original research question; "generalizations that people can learn from the case either for themselves or for applying it to a population of cases" (Creswell, 1998, p. 154). In order to properly arrive at these generalizations, the researcher carefully scrutinized every aspect of his data analysis.

Analysis During Data Collection

Qualitative research is formative in nature; in other words, data collection and data analysis occur side by side, interacting and building upon each other in the production of the final product. Merriam (1988) cautions against blindly collecting data

without any consideration for analysis. “Without ongoing analysis one runs the risk of ending up with data that are unfocused, repetitious, and overwhelming in the sheer volume of material that needs to be processed” (p. 124). Bogden and Biklen (1992) concur with this argument. “You must discipline yourself not to pursue everything... or else you are likely to end up with data too diffuse and inappropriate for what you decide to do” (p. 147).

As the research process proceeded, the researcher actively reflected on the emergent meanings and interpretations of observations. Field notes were taken during the data collection times, and thematic notes were constructed daily as the research progressed. Observations, like interview transcriptions, were coded and combined into themes and categories. “At this stage the researcher is virtually holding a conversation with the data, asking questions of it, making comments, and so on (Merriam, 1988, p. 131). Throughout the data collection process, the researcher began to assemble these building blocks, not only to note important or symbolic events, but “to come up with reasonable conclusions and generalizations based on a preponderance of the data” (Taylor and Bogdan, 1984, p. 139). It is through this “zigzag process” (Creswell, 1998) that data collection and interpretation was connected.

Coding

The coding process in case study research is similar to coding processes in other qualitative traditions. The only major difference is the number of sources of data that can be obtained in a case study. Coding is a process of breaking data down into units. Lincoln and Guba (1985) describe a unit of data as the “smallest piece of information about something that can stand by itself—that is, it must be interpretable in the absence of any

additional information other than a broad understanding of the context in which the inquiry is carried out” (p. 345). Once the data is broken down into its smallest units, they “will, sooner or later, serve as the basis for defining categories” (Lincoln and Guba, 1985, p. 344). By reassembling the units of data in different ways, the researcher was, in effect, creating a different understanding of the already present data within the bounded system. “In short, conceptual categories and properties have a life apart from the evidence that gave rise to them” (Glazer and Strauss, 1967, p. 36).

Coding data involves two very specific practices. Initially, the researcher was interested in data convergence. Merriam (1988) defines this process as “determining what things fit together- which pieces of data converge on a single category or theme” (p. 135). As the researcher built these categories through the analysis of several sources of data, a process of divergence began. “Divergence is the task of fleshing out the categories once they have been developed” (Merriam, 1988, p. 135). In order to clearly understand these categories, the researcher made critical and discerning decisions based on the data collected. Much like the carving of a statue, irrelevant or indefinite data was chipped away to fully reveal the nature of the theme.

In order to assign a system of importance to the units of data, Guba and Lincoln (1981) articulate three ‘dimensions of importance.’ First, data should be considered important because of a frequency of occurrence. The more often a unit of data appears matching a certain category, or the greater the number of sources in which the unit appears, the stronger the category grows. Next, the authors note that the researcher must consider the importance of the audience in understanding the articulated themes. In other words, the emergent categories must be believable. Lastly, they assign special importance

to those categories that are unique, meaning they are either unexpected or not referred to in the literature. These categories can lend uniqueness to the case, which may lead to further research possibilities.

Guba and Lincoln (1981) also refer to what one might call a forced categorization process. They note that “there should be a minimum of unassignable data items, as well as relative freedom from ambiguity of classification” (p. 96). In other words, rather than discarding the data which did not fit in a predetermined category, the researcher articulated categories into which a vast majority (if not all) the data may be placed accurately.

Validity

Validity, or “verification” as Creswell (1998) conceptualizes it, is one of the largest, if not the largest concerns in the qualitative research process. This research project took many steps to ensure that this collective case study was an accurate reflection of the bounded systems it was studying. Stake (1995) offers these recommendations, which were followed.

- Include accounts of matters the readers are already familiar with so they can gauge the accuracy, completeness, and bias of reports of other matters.
- Provide adequate raw data prior to interpretation so that the readers can consider their own alternative interpretations.
- Describe the methods of case research used in ordinary language including how the triangulation was carried out, especially the confirmation and efforts to disconfirm major assertions.

- Make available, both directly and indirectly, information about the researcher and other sources of input.
- Provide the reader with reactions to the accounts from the data sources and other prospective readers, especially those expected to make use of the study.
- De-emphasize the idea that validity is based on what every observer sees... Emphasize whether or not the reported happenings could have or could not have been seen (p. 87).

Stake's recommendations offer an important set of goals for research methodology as it related to the role of the researcher.

Triangulation Procedures

Researchers have confirmed that triangulation procedures are some of the most important when considering qualitative research. This is especially true in the case study tradition. Methodological triangulation, meaning the illumination or nullification of extraneous influences (Stake, 1995), was achieved through a variety of means. First, the researcher utilized data source triangulation. "For data source triangulation, we look to see if the phenomenon or case remains the same at other times, in other spaces, or as persons interact differently" (Stake, 1995, p. 112). This was achieved not only through the consideration of three specific cases, but also through the use of multiple sources of data. Secondly, "for investigator triangulation, we have other researchers take a look at the same scene or phenomenon" (Stake, 1995, p. 113). This was achieved through a close collaboration with the dissertation chair as well as dissertation committee. This collaboration not only included the data gathering process, but also verification in the

researcher's analysis and interpretation of the cases. Theory triangulation (Denzin, 1989) was also achieved through the researcher's collaboration with the dissertation committee, or "by choosing co-observers, panelists, or reviewers from alternative theoretical viewpoints" (Stake, 1995, p. 113).

Another important source of triangulation was through the use of member checks. Stake asserts that this process involves requesting the actor "to examine rough drafts of writing where the actions or words of the actor are featured" (Stake, 1995, p. 115). In an attempt to minimize the researcher's influence on the actor, this strategy was utilized "when no further data will be collected from him or her" (Stake, 1995, p. 115). Through these various methodological procedures, the researcher verified the findings of this collective case study in manner consistent with doctoral level research.

Chapter 3 Summary

The qualitative case study had at its heart the intention to understand a "bounded system" of events. While other traditions look to discover the meaning of certain phenomena, or the story of an individual, the case study attempts to give a contextually rich account of a unit bound by time and place. The collective case study (Stake, 1995) uses the case study approach, but has particular utility when a central idea, rather than the specific case, is of utmost importance. As in the case of Lutz and Merz's (1992) work on the dissatisfaction theory in which three cases were given as examples of a certain central idea, this collective case study will look toward the utilization of codified leadership theory in the daily actions and interactions of novice building principals.

As one thinks about the reasons for such an approach, answers come quite readily. School leadership is impossible to separate from the context in which it occurs (Feidler

1971; 1974). In essence, our actions are contingent upon the situations with which we have been presented. As such, the actions of novice administrators as they relate to theoretical preparation depended heavily upon the bounded system of their respective school. In addition to the mere utilization of leadership theory, the collective case study approach provided humanity and dimension to the actions of administrators. As the literature has shown, factors such as individual cognitive styles, emotional intelligence and 'people skills,' play a role in the actions and intentions of leaders within any organization. The choice of three bounded systems by which to explore the central idea, therefore, was the best possible course of action.

It has been said that the "model of the educational leader as the independent variable in school improvement characterizes much of the research and professional literature on school leadership" (Leithwood & Hallinger, 1994, p. 210). It is with this mindset that the researcher pursued his study. The holistic conception of each case, provided through description, observation, interviews, communication records, academic transcripts, and other available sources of data provided a strong contextual basis for the findings. The acknowledgement of a large number of variables and inherent qualitative nature of the study was the only way to accurately and reasonably proceed.

Chapter 4

Data Analysis

Introduction

Data analysis proceeded according to the multiple case study framework articulated by Yin (2003). Data collection followed replication logic, and subsequent analysis was followed by both internal and cross case analysis. While the researcher anticipated some internal themes that developed during data analysis, namely transactional, transformational, and instructional leadership, thematic development was not restricted to these predicted themes. Therefore, each case developed in an individual way, while maintaining similar thematic structure.

Bogden and Biklen (1998) outline the steps for thematic coding:

You search through your data for regularities and patterns as well as for topics your data cover, and then you write down words and phrases to represent these topics and patterns. These words and phrases are coding categories. They are a means of sorting the descriptive data you have collected...so that the material bearing on a given topic can be physically separated from the other data. (p. 171).

Utilizing this method, the cases were thematically coded, then compared for overlapping themes.

As the cross-cases analysis proceeded, the researcher made an effort to preserve the integrity and contextual fluidity of each case. Therefore, themes that appeared in two or more of the cases were included in cross case analysis. Miles and Huberman (1994) articulate this delicate balance. "We are faced with the tension between the particular and

the universal: reconciling an individual case's uniqueness with the need for a more general understanding of generic processes that occur across cases" (p. 173):

Subject Identification

With anonymity in mind, effort was made during data collection to give some relevance to the faculty members involved in interviews. As such, the following table represents the teachers that were formally interviewed during the research process. These staff members were referred to by their number as the data analysis progressed. While on one hand the researcher wanted to give a sense of commonality and perspective to the staff comments, these faculty members were vaguely identified to protect any sensitive comments by the staff members, or interpretations made by the reader.

Table 1: Subject Identification

	Case 1	Case 2	Case 3
Teacher 1	Younger Female Teacher	Experienced Male Teacher	Younger Female Teacher
Teacher 2	Younger Male Teacher	Experienced Female Teacher	Experienced Female Teacher
Teacher 3	Experienced Female Teacher	Experienced Male Teacher	Younger Female Teacher
Teacher 4	Middle-Aged Female Teacher	Middle-Aged Female Teacher	Experienced Female Teacher

The numerical identification of the staff members in no way reflects the order in which they were formally interviewed; the assigned numbers were chosen completely at random. When data was collected from multiple subjects, for example in a group conversation or expressed by more than one instance, the researcher provided requisite identification.

The Parochial Context

Mention must also be made with regard to the private, parochial environment that characterized all three cases. The private and religious nature of all three schools influenced the nature of the data collected through the size of the school, the academic preparation which they provided, and the faith-based social environment.

All three schools were relatively small in size. Case 1 presented a K-8 enrollment of 265 students, 80% of which were religiously affiliated students. Likewise, Case 2 demonstrated an enrollment that fluctuated between 180-240 students. Only 65% of these students were religiously affiliated. Case 3 presented a larger enrollment; pushing the 300 student barrier, depending on the school year. With regard to case 3, an exact percentage of religiously affiliated students could not be calculated, though faculty estimated that this percentage was about 60%.

All three schools also displayed a consistent focus on academic excellence. For example, 98% of students from case 1 went on to pursue high school at religiously-affiliated high school. Case 2 boasted a graduation rate of almost 100%, with 90% of these graduates attending a college or university. Standardized test scores from all three cases were above national averages.

Lastly, the religious influence within all three schools is an important factor to consider before data analysis. In every case, students were encouraged to actively embrace their faith commitment through community outreach and service to others. Likewise, the three schools stressed an ever developing relationship between God, neighbor and self. This focus was presented through the lens of both curriculum and demonstrated through various community-service projects.

Case 1

Context

Case 1 represented a first year principal practicing in a private, parochial school in Northwestern United States. He had entered the position after two relatively recent turnovers, the first leaving in a situation of conflict, and the most recent put in place primarily for his social skills rather than academic background. The superintendent noted that the current administrator “entered the position at a time that came in at a time where it was a healthy time for the school.” The researcher learned that the school budget was intact, and the community was happy with the academic and extracurricular options that were offered.

Interviews with the staff provided information that they were somewhat divided across age and experience lines, splitting them almost exactly in half. Teacher 1 added, “I think this administrator’s number one job with the staff is to try and balance out those two groups.” For the most part, however, the faculty enjoyed a relatively healthy internal culture, all focusing on what was best for their students and community.

The administrator was 32 years old, married, with two young children. Every morning would bring a new story about the baby not being able to sleep, or otherwise keeping him up at night. The lack of sleep seemed to compound the responsibilities of his administration. Teacher 4 initially commented about his position, “there’s just so much to balance, and there’s nothing to prepare for you for that.” There was mention of his being stressed and worried, but a consistent view that “he handles it well.”

Academic Preparation

The administrator was a recent graduate of a Master's program in Educational Leadership. At the time of data collection he was enrolled as a part time doctoral student, balancing his studies with the demands of his job. Looking back on his academic preparation, the administrator conveyed the utility of the program, yet expressed the impossibility of anything to adequately prepare him for this profession, aside from experience. "You're put in those positions all the time, and honestly a lot of times you can't do what's right, even if you want to." In addition, the principal clearly articulated that his pursuit of the doctoral program was at least partly influenced by the social and therapeutic outlet that it provided.

The superintendent of the school system had a more pragmatic view of the preparation program which the principal had completed. He noted that "a cut and fast example would be he might have taken public school finance to get his administrative license, which has about as much meaning [in a private school] as moss in the Berkley pit." The superintendent continued, "It is totally unreflective of anything that they will ever do. ANB funding is just not part of their life." While this certainly could not be characterized as a disparaging remark about the preparation program itself, it conveyed one more aspect of the on the job learning that takes place for novice administrators.

Expectations

When discussing the expectations that he had coming into this position, the administrator took a frank and decisive tone. He commented, "I expected to be in a position where there would be a lot of need...I expected that I'd be dealing with a lot of crises. I expected to be busy... And I had an idea that there would be problems." When

pushed into the specific concerns that he had upon entering the position, he aptly noted about certain individuals within the school “my expectation was not to set expectations.”

Despite the impossibility of adequate preparation and the unclear expectations for the position, the administrator certainly had a clear conception of the direction that he wanted to take the school. He noted upon reflection that “from the beginning of taking this job I had a really clear idea of how I wanted to function as a principal in the school.” Subsequent conversation added depth to this comment, where the subject noted that he had been a teacher during the previous administration, and had a clear understanding of not only the expectations of the staff, but the inconsistencies in leadership style.

Internal/ External Environment

The administrator also spoke at length about his conception of the environmental factors involved in his leadership actions. This conception revolved around both interpersonal interactions and community interactions. A main concern of the administrator in this respect was that “people have the perception that you want to sit back here and be a tough guy, you know, and I don’t want that. I don’t want that perception from parents or from teachers.” The office setting, with a large meeting desk next to the door and a smaller, personal desk by the window added to this effect. One could walk in for a meeting and instantly interpret the nature of the meeting. While teachers all sat at the larger meeting table, the administrator understood that “people recognize that when you’re behind a big desk and they are on the other side, that there’s a certain level of authority that comes into play.” Though this environmental authority was not used during the data collection period, it was mentioned and understood by the administrator.

Another important aspect of the environment, according to the administrator, was the general chaos of the office area. The open door ushered in the sounds, smells, and people from the staff lounge and office area, compounded by the location of staff mailboxes, immediately to the left of the door. On several occasions, the administrator would reflect that “if someone came through that door with a problem, I’d sit down, turn off what I’m doing, I’d get from behind my desk, get to this table, or sit in these chairs, and listen to what they have to say.” Despite the annoyance of the surrounding area, the administrator displayed a consistent concern that this would not interrupt clear communication with the staff or students.

Though not expressed by the administrator, members of the staff also noted his desire to consistently portray an exterior of control. Teacher 1 commented that “as a new administrator, he wants very much to portray control,” and that “he’s controlling. He takes control of the situation.” This was expressed in a two-fold manner, noting both the positive and negative aspects of his veneer. “Just because there is a new guy on board doesn’t mean that he’s wishy-washy. So I think that’s what he’s trying to show, but it’s kind of going too far sometimes and backfiring.” This posture was also noted by the researcher. After coming back from a meeting, the administrator was confronted by several issues that needed attention. Hands on hips, he addressed the issues in a tone that was more confident than authoritative, evoking a feeling of direction and clarity for the staff.

The importance of interpersonal relationships was also evident in the administrator’s interactions with students. There was an open door policy to his office for at least one student to sit down and complete homework. Likewise, several conversations

with students addressed the personal nature of their interactions. Students were eager to play basketball games and otherwise interact with the principal outside the walls of the school. This not only spoke to his conception of interpersonal relationships, but to the ultimate importance of contented customers.

On several occasions, the administrator discussed the importance of his interactions with the supporting community. He noted on one such occasion that:

More so than in a public school, in a private school, you have to be aware of perceptions of other teachers, of the students, of the parents, because in the end, how they are functioning, and how they are operating is going to dictate how well your school runs, and who comes to your school as far as paying.

The administrator likewise consistently referred to his “understanding that this is an open system,” and the fact that “I need to keep kids in the classroom in order to keep the doors open for the school.” Consistent evidence appeared in the fact that previously in the year, he had switched the administrative assistant in the front office because of her negative interactions with both students and parents. Parental involvement also translated into curricular disclosure. “I am having my teachers do disclosure forms mostly because I want to be able to hand something to a parent that says this is what we teach.”

The understanding of community perspective also translated into what businesses refer to as “branding.” In order to further separate this school from its public counterparts, the administrator had plans in the works to begin requiring school uniforms. “Uniforms, separating yourself from the public schools, have an identity, having a school theme that gives us an identity.” This conception of identity had a two-fold effect. Not

only would it give the school a distinct image in the eyes of the paying parents, but would promote the already established culture of the school, further cementing a high return rate from year to year.

However, through the course of data collection, the administrator also proved that there were limits to this conception of the community. After a negative interaction with a parent, he commented:

You know, that parent is writing letters and sending them out and not happy with me, but I am not sitting in this chair not making decisions in fear of the fact that if I make a bad decision that someone will... that in the end I'll lose my job.

In addition, the administrator reflected on the importance of financially persuasive parents within the district. "Sometimes you get people, a parent, that they think because 'I am so and so' that will play a decision and that doesn't happen. That just doesn't happen."

Money vs. Mission

Conversations regarding the influence of parents in the leadership of a private school led into what was termed by the administrator the "money versus mission" dilemma. The administrator accurately reflected the reality of the situation. "You have to take into consideration that this school's doors will not stay open unless we have certain clientele that can pay."

The novice administrator consistently spoke of a belief in the importance of cultural and academic diversity at the school. He was adamant that he "would take the poor kid, and figure out how to balance the budget later." This was supported by the

unvarying advocacy of the development of a resource room within the school. Consistent with these efforts, the researcher witnessed a meeting with parents regarding its development, and met with several teachers regarding the issue. While the parents represented understandable advocacy for their child, the teachers who participated in interviews regarding the issue were less optimistic. Teacher 3 commented “now I have a lot of questions for this administrator about what our ultimate goals are with our resource program because as a classroom teacher I need some help right now.” Furthermore, it was noted that “we’re just trying to muddle through. Muddling through isn’t good enough for me. So that’s why I’m interested in this.” Perhaps most evocative of the teachers frustration with the project was their lack of participation in the process. Teacher 3 noted “I was never consulted; I don’t know. Nobody has asked me what I thought until today.” The lack of staff participation in the process was acknowledged by the administrator. “I’ve had to move forward without getting a lot of input from the staff, or even the individuals that are going to be teaching it.” Further, “I know that’s not the best way to proceed. I know through either theory or through talking with people that it’s not the best way to proceed, but sometimes you are just put into that position.” When questioned more thoroughly on the matter, the individual vision of the project appeared more clearly. “It’s nice in that situation that we’ve got an issue and we’ve got a problem, and two, this falls into my personal platform as far as what a teacher/ educator/ administrator should be doing.” The administrator reiterated the personal nature of the situation: “I see this is something that I want to do as my personal touch to the school, and creating a particular area.” So the process of implementation became relatively straightforward. “How I go about this process with that in mind is if I establish the infrastructure first before we enter

into a shared covenant, or a shared idea of how to best do it.” However, there remained an understanding that the staff may not accept this change. “If it gets to a point where everyone is fighting me, I know that it’s time to fold my cards, but I’m going to move forward as a school because I think it’s what’s best.”

The consideration of the budget also revolved around the professional development of the staff, reflected in a daily debriefing interview with the researcher. “It’s a daunting task because when a teacher comes to me and says ‘hey I need to go to a conference,’ well I want to give my teachers everything I can, yet I’ve got to balance the budget.” The constant budgetary pressures were evident as one of the largest driving forces in this leader’s actions.

Perhaps the most salient issue with regard to the budget was the administrator’s ultimate responsibility for these decisions. He noted that “you can outspend your budget and that’s your fault.” These concerns were further reflected in subsequent conversations. The administrator noted the constant stimulation springing from the budget responsibility, but at times expressed an apprehension about this often overwhelming burden.

Cognitive Style

As the literature review described, one of the largest determinates of leadership action is the cognitive style of the leader. This administrator showed on a consistent basis that he not only understood this, but also had confidence in his ability to handle the job. “As far as leadership is concerned, you know, I don’t try to lead; I just try to be myself. And that’s my own individual style.” When approaching situations in which a decision needed to be made, he displayed a very matter of fact posture. “The biggest thing I kept

telling myself was don't try to be a leader, just try to be yourself...Analyze everything that you can and try to make the best decision possible.”

In order to provide a greater perspective of the influencing factors involved with this administrator's leadership actions, the Myers Briggs Typology Indicator (MBTI) was utilized to characterize the possible strengths and weaknesses of the administrator with regard to cognitive style. This administrator scored numerically as an E (19) N (22) T (18) J (16). The following table describes characteristics associated with his type (Adapted from Hirsh, 1991).

Table 2: Case 1 Cognitive Style

<u>T (Thinking)</u>	<u>J (Judging)</u>
<ul style="list-style-type: none"> • Are good at putting things into logical order. • Tend to be firm and tough-minded. • May hurt people's feelings without knowing. • Has a talent for analyzing a problem or situation. 	<ul style="list-style-type: none"> • Like to get things settled or finished • May decide on things too quickly • Want only the essentials needed to begin their work.

Many of the other results from the Myers Briggs could be characterized as explanatory in nature. For instance, this administrator's type often “use their thinking to run as much of the world as may be theirs to run” (Hirsh, 1991, p. 15). Furthermore, “reliance on thinking makes them logical, analytical, objectively critical, and not likely to be convinced of anything but reasoning” (Hirsh, 1991, p. 15). These characteristics may explain the controlling behavior that was evidenced through staff interviews.

Additional findings from the MBTI indicated both a predisposition to an analytical approach to situations, and an ability to see possibilities in creative ways. His profile was noted “to think ahead, organize plans, situations, and operations related to a

project, and make a systematic effort to reach their objectives on schedule” (Hirsh, 1991, p. 15). With respect to creative solutions to problems, “they are mainly interested in seeing possibilities that are beyond what is present, obvious, or known” (Hirsh, 1991, p. 15). Perhaps most germane to the study, “intuition heightens their intellectual interest, curiosity for new ideas, tolerance for theory, and taste for complex problems” (Hirsh, 1991, p. 15). The cognitive style of the administrator showed many valuable benefits and traits associated with administration duties. “They are stimulated by problems and are often found in executive jobs where they can find and implement new solutions” (Hirsh, 1991, p. 15).

However, a cautionary note was also expressed in several areas. For example, the profile first expressed the tendency to “have little patience with confusion or inefficiency” (Hirsh, 1991, p. 15). Individuals exhibiting this profile were also said to “run the risk of deciding too quickly before they have fully examined the situation,” and “may need to work at taking feeling values into account” (Hirsh, 1991, p. 15). These traits were evident in interviews which expressed his tendency to “reacts before he thinks.”

It must be noted, however, that though the MBTI is a powerful tool which can offer insight into the behaviors, motivations, and tendencies of some, the intention is not to paint an unwavering picture of the subject that cannot be changed (Hirsh, 1991).

Data-Driven Decision Making

This case represented a novice administrator who understood the knowledge and professionalism of his staff. As a consequence, decisions were often made based on a

factual audit of options. While decisions were not always popular with all of the staff, clarity and consistency were considered paramount.

When considering the change process, the administrator based many of his actions on a factual understanding. He commented, "I think that you have to, one, know what you are talking about. You have to have the information in place before you move forward." In this vein, he articulated the importance of fact-based decision making in the motivation of his staff.

So all I can do from my perspective at this point is give them the knowledge that I know and the honest to God truth about what's going on, and allow them to move forward. I don't know if that's an inspirational way as much as it's just, I think, what my role is at this point in time.

The importance of data driven discourse also delved into the realm of trust development with teachers. He commented "the best thing that I try to do is just be honest, and try to present the facts to them." When reflecting on a disagreement with one staff member, the administrator evoked this focus on clarity.

I give them exactly what is going through my mind. I don't hold anything back, purposely. Because I want them to know that I am straightforward, I am honest, and that I am giving them the information to help answer questions and if they have, maybe they want to add to part of that decision. But it has built a lot of trust between the staff and I, by taking that approach.

Several teachers supported this characterization in respective interviews. Not only were their overtones of a trusting respect, but a sincere appreciation for not wasting their time

with unclear answers. Teacher 2 commented that “He’s straightforward, he gets to the point, and he kind of speeds things along which is kind of nice, rather than having hour long discussions about something that’s useless.”

Another expressed byproduct of the honest approach to decision making was the acceptance of conflict as healthy to the organization. This honesty contributed to an environment where “they may not like some of the things that I say, and they may not like some of the decisions I make, and I may tell them this is why things are.” The administrator understood these consequences, and subsequent dialogue. “They will be critical of some of the decisions that are made, and then I am going to stand up and answer those questions.” However, the frank and clear tone that was set within the building did not detract from its professional interactions. The administrator repeatedly qualified statements with comments directed at his own experience. One noted comment clearly articulated this distinction. “I mean there are a lot of people at this school that know more than I do, that have been here longer, that are able to make better decisions on some things.”

Enculturation Process

One of the most interesting aspects of this case was the enculturation process that took place according to both the administrator and the staff. The superintendent noted his excitement about the prospect of a novice administrator. “Not that I’m prejudiced against older administrators, but he hasn’t been, his ways have not been established. So he’s establishing his ways in the context of the mission of the school.” These conforming forces permeated the social fabric of the school. “Well he is a first year administrator so there is some sort of social dynamic within the institution that he has to figure

out...Knowing the correct process of the players is a difficult thing to learn. That comes with years.”

Data collected about the changes that occurred in the first year of administration focused on two areas: changes from a teacher to an administrator and changes as a first year administrator. When reflecting on the difference between this individual as a teacher in the building and the building principal, response was unambiguous. Teacher 2 commented that “this administrator has changed a lot as a principal versus as a teacher. He’s been; it’s been like a 180.” When asked to expand on this answer, the staff member described definite professional changes. “As a teacher, he wasn’t very organized. But he has been very organized, especially with taking on his doctoral courses at the same time, so he’s done a very good job of keeping things organized, neat, and just.” Supplemental conversations revealed comments such as “he is a lot more serious,” and also a dedication to his professionalism. Teacher 1 commented that “at three o’clock before, he would be ready to leave and go do something. Now that is not the case.”

Scholars have noted the tendency for a transformation toward autocracy during the first years of administration (Schmidt et. al, 1998). However, perceptions of this administrator revolved around his control of situations from the very beginning. When inquired about the shift, teacher 1 responded “no, he skipped the first part (laughter). He made the shift early on.” These perceptions are certainly meaningful, but could certainly be associated with the earlier comments about the importance of the perception of control within the administrator’s leadership actions.

Another significant theme that emerged from data collection was the reflective contemplation of the personal changes that occurred during the first year. When asked

about personal changes, the administrator responded that “I’ve changed in the aspect of why I am doing this... I mean, what purpose, being a school leader or a principal.”

During these interviews there was a constant striving for a greater role within the school.

“What purpose do I have, what’s my role? How can I help instead of just administrate and take care of problems, put band-aids on things. What can I do that makes a difference?” This constant driving force motivated many of the larger-scale decisions that were made throughout the data collection period.

One contextual factor that cannot be ignored when analyzing the enculturation process is the support staff of this administrator. Teacher 2 noted that “a lot of this probably has to do with the front office staff that help him out and help keep him organized.” The researcher observed an experienced staff member acting as a quasi-administrator in the room next to the office. She was consistently referred to as the ‘catch all’ within the school. Focusing on calendar arrangements, parent interactions, and general support, the researcher understood this person’s implicit role as keeping the administrator on track.

Another contextual factor involved in the enculturation process of the administrator is the role of the faculty. For example, teacher 1 observed “they were not happy having someone, you know, some young whippersnapper, I actually heard those words, and they weren’t happy that he was given the position, and he met with a lot of trouble in the beginning.” A large factor at play with the staff is the way the administrator was hired.

I definitely got hired without a lot of input. So I think that was tough at first, and I think it was tough at first because those types of things have

been done... the good old boys club kept coming in the past, but like you said, I was teaching here two years before, so it wasn't like I came out of nowhere.

As a teacher in the school before assuming the role of administrator, this principal had a very unique perspective of the relationship between staff and administration. He was upfront about the fact that "they've heard the swan song over and over again...they've been promised one thing and been jeered... I sat in that staff lounge for two years and listened to it." However, this transition seemed to be working at some levels. This was perhaps because many of the staff saw the position as one that fit the man. Teacher 3 commented that "as a teacher I didn't admire him. As a principal I admire him for very different reasons."

There was also an expressed feeling that this administrator had changed the nature of the position as a parallel to being cultured by the school. Teacher 1 commented.

I also think that he's changed the position a lot. The previous administrator that we had here was, he did the job of like, the janitor, and the bookkeeper, and he spread himself a bit too thin; I think this administrator is doing a good job of just being the administrator.

Other staff members affirmed this ability of the administrator to set clear goals about the nature of his position. Teacher 3 noted that "you know, he's not trying to mop the floors after lunch like the other administrator was."

The enculturation process of this novice administrator seemed to take place at two levels. First, there was the understanding that he was entering a different culture of interaction, and had to conform to many of the expectations of that culture. The second

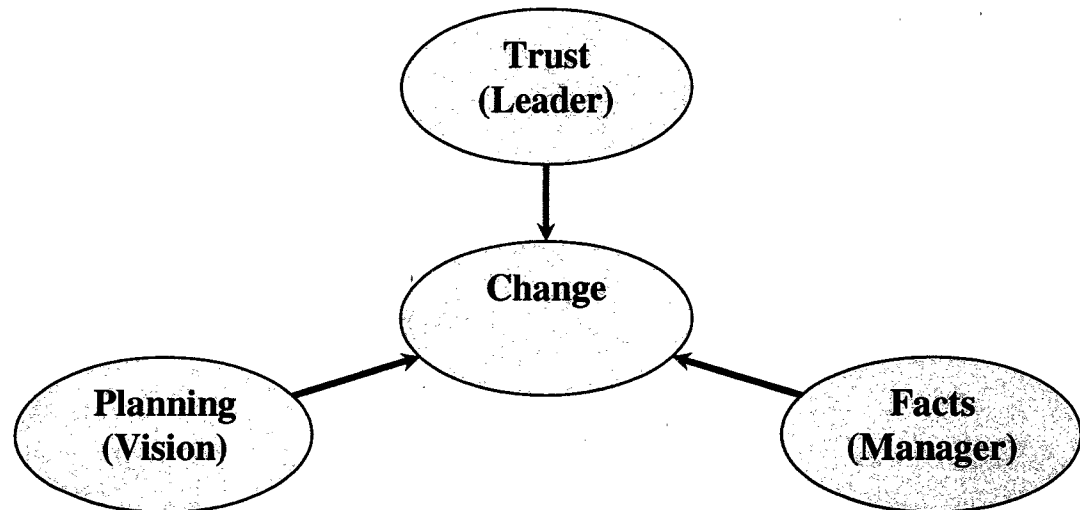
level was the comfort of the staff in responding to his new role, respecting his new fit in the established culture and respecting his new role as a change agent within that established framework.

Change

This administrator displayed a strong perception of the change process. Specifically, he articulated the fine line between pushing an idea through the staff, and waiting for buy in from certain individuals. "If you have a majority of the staff in one direction. Hopefully those outliers will sooner or later come around." The designation of a critical mass in order to push change within the school was a re-occurring theme throughout the case study. The administrator had a clear and pragmatic perspective of the change process.

I'm not going to spend a lot of time with those teachers on the outliers that are definitely 100% against it. I'm going to do what I can to let them know what we're doing, give them the facts, and hopefully you know, they'll move with the group.

Subsequent conversations clarified the leader's understanding of the change process within his school. Through the process of member checking, the researcher was able to diagram the three articulated forces involved.

Table 3: Case 1 Change Process

The administrator saw his role in the change process through three lenses. The first was that of a leader, building trust with the staff and bringing about changes through collaborative efforts. The second was that of a manager, a responsibility which called for the possession of facts and data-driven decision making processes. Third, he articulated his long term planning efforts as a vision.

The vision was articulated during interviews with both the administrator and the staff as the most difficult of processes. In fact, there were very different opinions among the staff about the shared-nature of the principal's vision. For example, teacher 1 articulated that "he's very...this is what I say it's going to be, and doesn't necessarily listen to an opposing viewpoint." However, teacher 4 characterized him as a perpetual learner.

He definitely is always in the learning mode how he can improve, how he'd do it. He doesn't dig his heels in and say, you know, it's my way or

the trail way. He definitely is willing to work and change and do the best for the kids and his staff and the families.

The researcher was also able to observe this process in context. During data collection, the administrator was in planning process for a school theme for the following year. The purpose of the school theme was to provide a common vehicle by which the students, parents, and faculty could interact. Signs would be put up in the hallway, curricular choices would revolve around the theme, and it was to permeate the building as a whole. When discussing its implementation, the administrator provided a very clear view about his role in this change.

Next year when we go into our staff retreat, I'm going to say, here's the school theme guys...Now am I going to go to the staff and say hey what do we want our school theme to be guys? And sit there and get pelted with 500 different ideas, into nausea, or get some type of paralysis? No....I'm going to say, you guys, here is the theme for the year, but I don't want their input before that because I want to be able to do this.

In this situation, the administrator certainly reflected an understanding of the tedious nature of participation.

Utilization of Theory

When reflecting about the general use of theory in his leadership actions, the administrator was adamant that theory mostly served him with respect to generalities. His responses advocated the role of theory in his actions. "There's no question that I have taken the theory that has been placed in front of me, or the ideas that were brought out in the classes and used them." However, the use of theory became less pertinent during

specific actions. "I will say that most of the time, 75% of the time, I'm not going into action thinking about a theory." There was more of an affirmation of the general help that leadership theory provided.

I have a general concept of it and I do think about it...do I think about that and apply it on a daily basis and apply it? No, but I'm aware of it.

Therefore, I think that allows me to be a better leader and administrator.

The utilization of theory also was found to be more applicable in certain situations rather than others. "If I'm just talking to someone in the halls, or in the staff lounge or anything like that, I'm just myself. If it has to come to school operational stuff, or observations, or that type of thing, definitely." Though the understanding of general theoretical models was pertinent to many of his actions, the reflective use of theory was left to a consideration of theories themselves.

Instructional Leadership

Like many schools, the evaluation process followed a two pronged approach. The formal observations consisted of a pre-conference, observation, and post-conference. This occurred ideally for every teacher once a year. Next, the informal observations occurred twice a year. These forms were much shorter than the formal evaluations, contained general comments, and did not require the administrator to sit for the entire class session. Afterwards, a meeting between the teacher and administrator would allow any pertinent observations to be discussed.

In addition to these classic processes, first and second year teachers were engaged in both peer-review and parent review. This was done through an anonymous Likert scale instrument. "I'll hand out randomly, a Likert scale to the staff to basically score another

teacher, and that would be part of their observation.” Similarly, the parent evaluations consist of a random sampling of parents from each class. Though these informal processes of evaluation were considered informative to the principal, they were not considered to be official personnel documentation.

Upon consideration of the evaluation process, the principal expressed both credence in the professionalism of his staff, and regret that more experienced teachers were not evaluated as consistently. “Some of these teachers have not been observed in 10 years, because there’s no need, it’s not like it’s a public school where it’s a mandate.” However, he also looked to the positive aspects of his evaluations.

They get excited, you know, they haven’t been observed in years. Even if I’m a novice principal, and then I kind of come in and say great job, awesome lesson plan, you’re a master teacher. It gives me time to let them know that I appreciate them as a teacher, and that they are great for the school.

Throughout discussions of instructional leadership practices, the administrator maintained his confidence in the professionalism of his staff. He upheld that “my leadership style is one of I am going to allow my teachers to teach... I don’t need to be the type of guy that dictates their classroom, or dictates their curriculum. And I shouldn’t, because they are professionals.” The support of his teachers’ instructional decisions sprang from two areas. First was the lack of understanding of a typical K-5 curriculum. “Right now I don’t have the expertise from a K-5 perspective on curriculum.” However, this lack of understanding was also met with a desire to learn the ropes for future development.

There have been times that I have talked to the elementary school, and I've said I don't know. I've never taught in the first, second grade, so let's talk about what that curriculum should look like. Let's talk about what should be done.

The second area that must be addressed is the administrator's knowledge that he was a younger staff member, dealing with (in many cases) a much more experienced faculty. During discussions about the staff, he noted that most of his teachers have master's degrees in their respective teaching fields. Additionally, "they've been through the wars, I mean, no principal should ever feel like their staff, especially their older staff teaching at a master level, can't handle their job." On the whole, staff members were grateful for their autonomy with respect to instruction. Teacher 2 commented:

He does the right thing in my world in that he leaves me alone. He knows what I do; he's been on the same floor with me for the last two years, so he seems to have the utmost respect for me and he doesn't interfere with what goes on in my classroom. That's something I truly appreciate, and if I had an administrator that tried to manipulate, that would drive me insane.

What some might call a respect for the professionalism of the staff, others might interpret as a low regard for what is happening in the classrooms. Teacher 3 expressed frustration with the lack of administrative presence in the classrooms.

I would have to say that would be one of... must be one of his lower priorities. If I asked him to learn something about something specifically and get back to me, he would. But as far as what's offered to us instructionally, I can't think of any specifics.

The inconsistencies in staff interpretation of the administrator's role within the classroom became a topic of discussion throughout the data collection period. Though he seemed trapped between two extremes, he defended the professional decisions of his teachers, and shied away from much more direct involvement. "Their curriculum and what they teach on a daily basis is their identity in the classroom. The curriculum is... that's their candy. That's their baby."

While the administrator kept a professional respect for classroom instruction within the building, he did offer many incentives for in-house professional development. "I encourage them to get time away from their class to observe." This was consistent with the observation of a lottery drawing at the schools staff meeting, where the winner received a day off of classroom teaching (the principal would fill in for the day) in order to observe others in the school. This system had the dual purpose of providing a collegial environment, as well as providing the principal with knowledge of different grades and classes within the school.

The private school also provided the dimension of parental involvement in the curriculum. Though this was kept to a minimum, the effects were sometimes significant. Teacher 2 recalled why he was transferred part time to another school for the coming year. "They had such a demand from parents that to promote science at their school, and many of them demanded that they get a new chemistry teacher or some of them would be leaving." This decision was left completely up to the teacher, but parental influence played a significant role in the principal's proposition. Another observation made during the data collection period was the development of course audits, where teachers

documented the grade and classroom curriculum in order to supply parents with adequate information to make registration decisions.

Developmental Supervision

One of the more significant themes that developed during data collection was the importance of the developmental supervision process to the administrator. Taken specifically from university coursework, this provided a theoretical platform on which the administrator consistently rested.

There's no question that [Glickman's] philosophical idea of evaluation and supervision, and how he handles the process, and pulling in all the theorists, sort of backing up why he does what he does...I go into an observation with that in mind; not only in observations, but in meetings. You know, trying to get a handle on an individual and where they are at and how much they can handle and what you can talk to them about.

Within the developmental supervision framework, the administrator also took into consideration the theoretical propositions on which it rested. Specifically noting Kholberg, Piaget, and Erickson, the administrator postulated, "I'm trying to apply human cognitive abilities and where people are at different levels and morality... those things have definitely made an impact on how I relate."

Data collection provided two informal observation periods which the researcher was invited to attend. Both teachers represented master teachers whom the administrator treated in a non-directional manner. Both meetings proceeded with a thankful and positive tone, the administrator thanking them for letting him come into their classroom. Questions were asked such as "What can I help you with?" and "What are you working

on?" Both teachers responded in kind, thankful tones. One teacher noted that she hadn't been evaluated at all in the previous 4 years. This teacher made a consistent push to have a formal evaluation, not only to record her success, but offer a needed third party perspective of her classroom actions.

In his reflection about the meetings, the administrator commented on the importance of developmental supervision not only in his effectiveness as an administrator, but in his personal relationships with the staff.

I have actually had better relationships as a principal, with that older staff, than I had when I was a teacher here. And a lot of it has to do with applying some of the things that we're learning in class.

Consistent with the utilization of developmental supervision, the administrator significantly changed his approach when it came to newer and inexperienced teachers.

With regard to one novice teacher, he commented that "I am very hands on with her; very directive with her...a master teacher would be a whole different ballgame."

The reflective utilization of developmental supervision also played a role in this administrator's interaction with students and parents alike. "I think a lot about Piaget, and his stages of cognitive development. I think those are important in dealing with kids and with parents." Not only was developmental supervision utilized in the promotion of personal and professional development with teachers, but also influenced this administrator's approach to situations involving parents and children.

Social Systems

One of the central foci of this study was the social systems/ bureaucratic interface experienced by novice administrators. The following pages will attempt to characterize

this administrator's understanding of social networks within schools, as well as the utilization of this knowledge in leadership action. This understanding was brought out with respect to participatory decision making, group dynamics, power, the social setting, and a conception of professional equality.

While initial comments in regard to participatory decision making were very positive, through the course of data collection evidence mounted for an increasing number of qualifiers to this position. The researcher noticed that these comments also seemed to contradict his earlier comments regarding the school theme. When questioned about participatory decision making the principal commented "I really, really believe in letting and allowing the teachers to have a lot of discussion about school issues." The only noted concern about the involvement of the staff was the concern of time. "Now, you can't waste too much time, but definitely get as much information as you can, definitely try to get as much people to help as you can."

However, in supplemental interviews, this administrator, and even supporting staff, presented some considerable speculation about the utility of participation. Teacher 1 noted that "I mean, you can get too many cooks in the kitchen, and you've got a problem." When considering the types of decisions that would require authoritative control, the administrator looked immediately towards issues such as health and safety of the children, budgetary concerns, and perhaps most interestingly, perspective. "If I could give the whole entire picture to the staff and allow them to chew on it and come up with a decision I would...at times though they are not going to see all that."

The staff also expressed clear opinions about the sincerity of participation in decision-making. Several staff members praised the accessibility and consideration of the

principal. Teacher 1 commented that “he does actually a really great job of bringing in his staff, and teachers, and parents for advice and guidance; he really actually does a good job with that.” Teacher 3 separated curricular and staff decisions with budget and planning. “I do feel like I can go to him with a situation and he’ll work it through with me. I feel he is very open to me sitting down and talking with him, but I don’t feel like I have anything to do with policy.” Perhaps most aptly, teacher 2 characterized the democratic process of decision making within the school. “I guess it’s not necessarily a democracy...those who complain get what they want.”

A contextual factor that played an important role in the social networks of the school is the social setting in which their interactions took place. The administrative secretary’s desk playing music during the day, the staff crowding around the office laughing and talking before school, and the physical location of the teachers lounge and mailboxes (to the left and right of the main office, respectively), all played a role in the social atmosphere. Brief conversations in the staff lounge provided reason to believe the principal seemed apt in his characterization of the school as a “hen house.”

However, this was a social environment that the principal seemed very comfortable in. There were noticeable differences in the way staff members acted in the principal’s presence. Generally speaking, the younger teachers would take a more casual tone with the principal, laughing and sitting on or near his desk. Older teachers took a more formal tone in both voice and posture. Meetings with the older staff all took place seated around the meeting desk, rather than standing, and got to the point rather quickly. While one could associate this with the administrators comfort level with the specific staff members, one could also understand this as the administrator acting in a manner

consistent with the teacher's comfort level, and standards of appropriateness. Without a doubt, the administrator conveyed an energetic and positive yet self-effacing posture toward the staff. This was so much the case that after a comment during a staff meeting, the researcher jotted a note that read "this guy could have a talk show."

One noted reason for this behavior, which the administrator expressed in a reflection, was that he tried very hard not to be considered to be at a higher level than his peers. "I've truly tried to be not looked at as an administrator, and just part of the process in the school." This equity was also expressed through a desire for social relationships.

I really try to keep myself on the same level of the teachers, I really try to interact with them, I invite people into lunch, I go to lunch with people, we do dinners... I like the fact that I can just be considered part of the staff.

This sociability often translated into a role reversal for teachers and the principal. "I don't think you need to be an authoritative figure as a principal. You know, I think you need to be a helper. I think you need to be an assistant." Understanding his position as that of a resource for teachers aided both social and professional interaction.

When considering the importance of group dynamics in his leadership practices, the administrator focused clearly on this as a motivational tool. "To me, understanding group dynamics is about how to engage teachers on certain issues." This was further expressed in regard to its close relationship with a team mentality. "I am constantly keeping my ears open and my senses open on how my staff is getting along, individuals who are not team-oriented and who are not helping each other." It is with this team

mentality that the administrator attempted to disturb the system (Pascale, 1990) to make appropriate changes.

Another important issue discussed by the novice administrator was his understanding of perspective within his social system.

I don't think you can just sit and go this is how I perceive our relationship and be fine with it. I think you definitely have to have an understanding of how they perceive you, which may be different than how you think they perceive you.

The administrator's understanding of perspective with regard to social interactions relates closely to Glickman et. al's (2001) conception of cognitive dissonance.

Lastly, mention must be made of the importance of this administrator's conception of the open system that his school functioned within. His comments with regard to the open system setting centered around the function of power within the school. "We are talking an open system now, and you have those teachers that have that power within the staff, and that power may be perceived or true authority, legitimate authority but in the end they have it." In subsequent discussions, the private nature of the school was cited as one of the largest influencing factors with respect to the open systems environment. Parents requesting involvement in the school on levels varying from curricular to social and financial made this administrator exceptionally conscious of the thin walls of the school.

Transactional Leadership

Data provided very little evidence for transactional leadership behavior within the case. Though the administrator spoke at length about his responsibility for the budget,

there seemed to be little room for influence on salary, perks, or other such resources. The give and take relationship between the administrator and faculty was generally consistent with the provision of personal favors. The administrator would take over classes at times, fill in for a late teacher, or help with classroom setup. However, these favors were considered personal favors, rather than carrying with them the expectation of behavior or compliance.

Most interestingly, the administrator submitted that “you can’t separate the personal from the professional. If something is being asked on a professional level, there’s also a personal transaction that’s constantly behind it.” This understanding of the connection between personal and professional lives tied in closely to many of his comments on his utilization of transformational leadership as well.

Transformational Leadership

The review of literature characterized transformational leadership behaviors as mission centered, culture centered, and performance centered (Marks & Printy, 2003). Through the period of data collection, it became clear that the administrator understood these traits of transformational leadership and attempted to reflectively utilize them in his leadership actions.

One important element of transformational leadership is the development of personal and professional comfort. As this administrator noted, “I think that if teachers need help, if they feel comfortable talking to you, they will ask you for expertise.” The development of comfort was witnessed through personal conversations with the staff about family issues (children, spouses, etc.). However, more importantly, the administrator made light of his own mistakes. For example, when joking about a calendar

mix up, the administrator blamed it on an alter ego, lightening the mood and setting an example for living up to mistakes. This comfortable and approachable atmosphere was reflected by the staff. "I work better with him because I feel like he wants to know what I think, and he'll ask me, and I feel very comfortable in telling him what I think."

Comforting relationships, however, were shown to be laid on a bed of trust.

When considering the things that he most valued with the staff, the administrator first looked to the trust of the staff. "I really want them to be able to know that they can depend on the office, and the administration in personal matters. I think that builds teamwork, and, you know what I mean, I think it's a personal thing." The importance of trust was not only expressed in a professional capacity, but also personal. "I want to be someone that the teacher can come to because they trust and respect me as a person."

The fine line drawn between personal and professional matters was expressed in his reflection on the transactional elements of his leadership. This theme also emerged consistently in his discussion regarding transformational leadership. When considering the cognitive and moral development of his teachers, the administrator stressed that

I want them to be able to come to me if it's a curricular matter, if it's a personal matter, if it's any kind of matter...I want to let them feel like they can go take care of it. If the need to leave for the day to go take their kid to the hospital or the dentist, I want them to know that they can go do that, and figure out how to go cover for them later.

This comment reflected not only the administrator's professional dedication to the teachers and the organization, but reflected that same concern for their personal lives and development. This interconnectedness between personal and professional relationships,

coupled with a sincere vision of development within the organization are cornerstones of the transformational process.

However, the administrator also understood that the dangers of these interactions paralleled their power for organizational development.

Because I know the power it has in building a personal relationship and trust with you. I'm not afraid of that, I'm also not afraid to turn around and be an administrator if I have to put them on a plan of improvement of those types of things.

Faculty perception remained adhered to the ability of the administrator to smooth out situations. Teacher 4 noted that "he spends a lot of time trying to make as many people as possible happy, which is good and bad." These comments also looked toward the correlation between vocal members of the staff in the ability to get things done. "If you have a complaint and you make enough uproar, he will follow through with it and try to turn it into a big deal just to appease others," said teacher 1.

Another source of personal trust and relationship development was the sincere attempt to be an advocate to the teachers. A self described "safety net," the administrator consistently placed the professional integrity of his teachers as a high priority. Teacher 4 reflected these sentiments.

I think his staff knows, they know, we know that he is behind us. He will not let us hang out there to dry. If we've made a mistake he will do the best to back it and say even, "you've made a mistake and if it's doable we'll fix it now and be supportive."

One of the critical factors involved in this support was a complete knowledge of the facts. “At the point of attack, and when they need help, yeah, you need to be there for them. Then you need to go do your homework, and find out what’s going on.” Again, the administrator made clear that he was not afraid to take a hard line in these situations. “When it becomes a safety issue, or not good for kids, changes need to be made, and if they need to be drastic changes, then I guess the iron fist thing you were talking about comes into play.”

The expressed advocacy for teachers became an instant two way street when the school became involved with parents. Teachers would make an immediate effort to alert the administrator as to the nature of the problem. Teacher 3 noted that “I think the teachers here easily say you might get a call tonight, because this happened today.” Likewise, the administrator would not hesitate to approach the teacher about a meeting with a parent, as evidenced by teacher 3.

Say he’s going to have a meeting with one of my parents. He’ll tell me ahead that he’s going to have this meeting and he’ll want my input, what it might be about if he doesn’t know, or he might ask me the background.

What’s up?

This comment reflected the relationship between the administrator and teacher as allies, perhaps aided by the private nature of the school and subsequent desire to please parents.

The administrator also made an effort to express one of the largest struggles in his duties as a building administrator, the pull between his daily tasks and ability to affect long-term organizational change. “I try never to lose sight of the big picture and where I’m going, but in between I know that whatever comes through that door, I’m going to

have to deal with.” When asked to expand on the association between his urgent and important leadership activities, the administrator submitted that the only association is a dual association.

I think that the vision, leadership aspect is constantly something you think about and trying to do. I think they are always there...I think the urgent issues come up and you have to deal with them... That becomes the priority at that point in time, but the priority always is where are you moving, you know, where is the school going?

Balancing the ever-changing duties and survival mode mentality with the overarching goals of long-term growth and organizational development were considered the supreme task of any novice administrator.

In this vein, a notable remark was made by the superintendent about the ability to reflect during one’s first year of administration. This person noted that “you can’t reflect while you’re still trying to figure out how to swim.” He also aptly characterized the first year of administration as “not a survival mode, but a survival mode, if that makes sense.” However, there was certainly belief expressed in his ability to handle the job. “There’s an on the job learning that’s taking place right now so that in the future he can reflect, but right now there’s nothing to reflect on because he has no history.” With respect to the urgency and importance of the administrator’s daily duties, the gentleman commented that “he understands the theory of what should take place, but there’s a reality of what has to take place.” These comments, perhaps more than any, reflect the importance of time, planning, and reflective vision in the development of any novice administrator.

The other immeasurable quality that must be expressed in a discussion of transformational behaviors is that of organizational vision. This was discovered to be the area with the most capacity for growth in this case. While priorities were set with regard to the way the school appeared to the public, the clientele it would serve, and the curriculum it would focus on, these goals had not had the opportunity to set into a more solidified platform for organizational development. Perhaps most clearly evocative of this observation was a comment made by teacher 3 regarding the organizational vision.

How could you judge whether someone was reflective or not, unless they shared their vision with you? I'm not sure he has shared enough of his vision with me to know how deeply he has thought about it or thought it through.

This observation is certainly less of a comment on communication or expression, and more of a comment on the importance of time in the development of transformational leadership. This solidified vision, and reflective expression of it throughout the culture of the school is something that, in addition to the patterns of social networks, trust, advocacy, and participation, takes considerable endurance. While those that participate in this system are optimistic that it will come, there is an acceptance that it takes time to alter these characteristics of human behavior.

Conception of the Future

Luckily, this established framework and vision may have the opportunity to evolve over a period of time. When asked about the possibility of his long-term acceptance of the position, he candidly mentioned the service-oriented nature of his profession. "I don't look at it as my right to be a principal, and have authority, or power,

or any of that. I'm just... right now I'm comfortable with where I'm at and trying to be the best that I can be." He also noted the extreme self-satisfaction that he has attained on both personal and professional levels through this experience.

You know, as a classroom teacher there's always that idealistic perspective that you're maybe changing the world, or having an effect on kids, so you buy into that, or at least I did, that I was doing something pretty special, or you know, that for me served a purpose in my life. As an administrator, I've been looking for that...So I've changed in the way that I've maybe found a couple of things that I can kind of sink my teeth into, that can make a difference, and can help kids, and help teachers.

Hopefully I'm that type of person, and I'm able to give them some guidance. Even being a young, novice principal.

The dedication to developing the ingredients for successful building leadership proved not only very difficult, but also extremely rewarding.

Case 2

Context

Case two represents an administrator who has been in the position of principal for two years. However, data was collected in the first year that he was practicing with a Master's degree and the requisite theoretical preparation. As a member of the university internship program, he was able to learn the theories while working full time as a principal.

The administrator was in his mid thirties and had two children. The first child was going to begin kindergarten the following fall. His wife, an ex teacher in the district, had chosen to work at home and raise the children.

The position that this administrator filled had most definitely had a turbulent past. Having had 9-10 principals in the previous 24 years, and 7 in the last fourteen years, the staff was certainly used to changes within the administration. This was considered both a positive and a negative for the administrator. As teacher 2 noted, the staff was very much self-sustaining as a result of these turnovers. "The culture is not one in which gosh, we've dealt with Mr. so and so for such a long time and now there's somebody new here. They are used to change." This independence relieved many of the managerial duties of his position, but considerably affected his ability to lead the school in any kind of change process.

Another factor at play was the negative atmosphere that was rampant before this administrator arrived. Morale had been low, and the previous administration's work expectations had been extraordinary. In order to keep the school financially solvent, the previous administrator was forced to ask them to teach 7 out of 8 periods, which was an

hour and a half prep every other day. The new administrator commented that “they froze teachers’ salaries for two years in a row, and he cut three positions within the high school alone, and whittled away small portions of FTE from almost everybody that they could. Looking back on the first few months of the position, he commented that “it was like walking into a nightmare.”

The school itself totaled around 185 full time students, and around 30 teaching staff. The average teaching experience within the building was 17 years, with a minority of very young teachers. Because of the size of the school and fluctuating enrollment, teachers had become used to teaching various grade levels. Student accomplishment was obviously celebrated as the halls were lined with trophies for various sports and clubs. The first day of data collection occurred after spring break, and the building was still frigid as the heat was turned off to save money.

Academic Preparation

As stated earlier, the principal was a graduate of the local university’s master’s program, and a previous intern in Educational Leadership. Teachers respected the commitment of the administrator for taking on this responsibility. Teacher 1 commented that “being involved in the internship program is part of that [commitment] when he’s also had to do school at the same time.” The superintendent was less thrilled with the preparation program, as the finances and burdens of a private school were substantially different. To this end, he noted that “it is totally unreflective of anything that they will ever do. ANB funding is just not part of their life.” Nonetheless, the theoretical leadership preparation that this administrator experienced would influence the nature and practice of his position.

Cognitive Style

When considering the reflective application of theory on leadership action, one must also consider the influence of the administrator's previous experiences in leadership positions. In this case, the novice principal had served for years in the US Forest Service as a smoke jumper. This position, the administrator argued, prepared him for the oftentimes hectic leadership environment within the school. "There have been a lot of crises in my life, so I feel like I have a real hard grasp on how to handle other situations." He discussed his promotion through the ranks in that environment.

Being placed over people that were 20-30 years older than I was, and had 100 times the experience that I did, but because of my ability to lead, and to keep my level head and to get things done in an efficient manner, there's a reason why I kind of kept going up the ladder.

This administrator's ability to focus under pressure was also noted by his colleagues. Teacher 3 noted that "that's a huge, and that's something I don't know if you can teach that. That either takes practice, or maybe you're instilled with it." The nature/ nurture question would be explored further through the administration of the MBTI.

The Myers Briggs Typology Indicator results showed a propensity toward extroversion (18), intuition (17), feeling (15), and perception (19). This administrator exhibited a tendency to focus on the "outer world of people and things, being more susceptible to interruptions and outside influences" (Hirsh, 1991, p. 13). His intuition showed an inclination toward "becoming aware indirectly via ideas and associations from the unconscious" (Hirsh, 1991, p. 13).

The feeling score reported that he tended to “come to conclusions via the personal, subjective value placed on people, events and things; highly influenced by personal values” (Hirsh, 1991, p. 13). Lastly, his score on the judging-perceiving scale anticipated that he preferred dealing with the world in a flexible, spontaneous manner; in this respect the world is understood and experienced rather than planned in advance. This quality may explain his desire to move into such an unplanned and volatile career.

Additionally, his cognitive type is associated with the desire to please others (Hirsh, 1991). The results indicated that their feeling cognitive style will evidence itself in a genuine concern for others. Furthermore, they “are good at seeing the effects of choices on people” (Hirsh, 1991, p. 13). Their social and caring skills are manifested through their perception about the attitudes of others, “aiming to understand rather than to judge people” (Hirsh, 1991, p. 13). Remarkably these types “are much drawn to counseling, and can be inspired and inspiring teachers, particularly where they have freedom to innovate” (Hirsh, 1991, p. 13).

The MBTI also noted a propensity toward a flexible and changing lifestyle. ENFPs, in addition to being able to handle changing situations are characterized as “enthusiastic innovators, always seeing new possibilities and new ways of doing things” (Hirsh, 1991, p. 13). Rather than being put off by challenges, “they are stimulated by difficulties and are most ingenious at solving them” (Hirsh, 1991, p. 13). However, this can often manifest itself in the fact that “they hate uninspired routine and find it hard to apply themselves to the sometimes necessary detail connected with any major interest”

(Hirsh, 1991, p. 13). This individual would most likely succeed in any changing, dynamic field.

Lastly, results called for the ability to both become enthusiastic themselves, and inspire others. However, they may become myopic in some matters. "They can get so interested in their newest project that they have little time for little else" (Hirsh, 1991, p. 13). Another caution that was mentioned for this cognitive style was the fact that "they see so many possible projects that they sometimes have difficulty picking those with the greatest potential" and "they may get bored with their own projects as soon as the main problems have been solved" (Hirsh, 1991, p. 13). The MBTI characterized this administrator as engaged, empathetic, and inspiring, though cautioned against multiple projects without direction or follow through (Hirsh, 1991).

Expectations

When reflecting on the initial expectations that he had upon accepting the position, the manic nature of the job was expected, but the nature of the position was different he had anticipated. "I expected to be very busy, but I expected to be busy in different tasks than what actually came to be." One specific area that was a source of concern was the divisiveness of the staff. "I expected to have a lot more difficulty building a team environment, transitioning from such a poor year to a new administrator." The history of pay cuts, excessive hours, and unclear expectations was a sticking point for many of the more experienced staff, and the administrator expressed apprehension about coming in as a new voice within the school. "I expected it to be an uphill battle with the age of the staff...I also expected for a lot of gremlins to stay, skeletons in the closets to be around." Though the realities of the position were markedly

different than his initial expectations, subsequent conversations expressed thankfulness to the staff for allowing their divisive history to be put on hold for a period of time. The staff reflected these sentiments. Teacher 1 reflected on his perception of the administrator's new position. "Let's give the guy a chance, he's new."

Perception

When considering the role of perception within the school, an immediate theme to develop amongst the data was that of age-related perception. This occurred more amongst interviews with the staff, than with the administrator himself. Teacher 4 put the role of age in an understandable context.

Traditionally you think of individuals who are older and have more experience not necessarily more education or training, but older and more experience that they are above you. You grow up that way. It's your parents, teachers, coaches, and they are in a position of power and now the tables are turned and he is the leader for people who have children his age. Seemingly, however, these turned tables were considered more of a fact, than a basis by which to formulate an opinion of the administrator. Teacher 2 commented, "I have not gotten any sort of feeling from people that he's just a kid, wet behind the ears, doesn't know what he's talking about, he'll learn as he goes along, that type of thing." Despite the differences in age, the staff maintained a large amount of respect for the administrator.

This respect drew from a number of sources. The first of which was, ironically, the willingness to take on a job that many steered away from. Comments in this respect ranged from "I think the willingness to take this on also brings about respect," (teacher 1)

to “I wouldn’t want to do his job,” (teacher 4) to “I’ve never gotten into administration because I don’t think I could do it” (teacher 3). Ultimately, all staff appreciated the fact that this administrator was willing to pick up the leadership burden for this organization. The resulting trust and admiration aided him in countless leadership actions.

Secondly, mention was made of the confidence with which the administrator acted. Though he did not express it in himself, teacher 1 noted his ability to “exhibit a degree of confidence that is necessary in order to have the respect regardless of your age.” Another spoke to “his ability to make the final decision that needs to be made and not apologizing for it” (teacher 3). Both were genuinely impressed with his leadership posture, age aside. Despite this confident demeanor, the principal internalized many of the comments that were made by staff. “There was a time last year where I was unapproachable to some people, which bothered the heck out of me.” His internalization of a flippant comment made over a year ago is evident of his feeling and empathetic cognitive style.

Another fact that must be considered is that the administrator had been brought up through the ranks of the school in previous years. As a teacher and athletic director, he was able to witness the staff’s frustration with previous situations first hand. Moreover, he commented that it was a valuable experience to “be able to be here and go through it with the staff at that time as that side of it, and I understood it, and I understood what not to do.” This was not only valuable to him as an experience, but the fact that he understood where they were all coming from was a source of credibility with the staff.

Another theme that emerged with respect to the administrator’s perception among the staff was his uncanny ability to stay calm and collected through seemingly intense

situations. He attributed this mainly to his experience in the Forest Service, but it made a deep impact on his relationships and communication patterns with the staff, as noted by teacher 1.

He also is very in control, very calm demeanor on the outside. I think if he were to blow a gasket, it would be newsworthy. If he were to ever really unload, show an outburst of anger, it would be noticeable...I think if he were very angry with me, disappointed in me, I would feel real bad, like I had really screwed up.

This characteristic was accentuated by researcher observations of his clean cut look, joking, and consistently calm manner. On several occasions, the office phone would ring during an interview, and the administrator would ignore it without batting an eye. One had a real sense that he would do the same for anyone in his office. In fact, every teacher that was interviewed during data collection spoke of his "calming influence," "calm nature," or "comfortable atmosphere." They were still adamant, however, that "he still expresses [how he feels]; he will still convey very appropriately his anger about whatever it is" (teacher 1).

Work Overload

The superintendent, who had once worked as this building's principal, recalled the lifestyle of the building administrator.

Five o'clock in the morning, the alarm goes off at the activity center; you're the one on the call list. Just get out of bed and say let's go take care of it. Three o'clock in the morning...five o'clock is ok because you can just stay up.

As one can imagine, the time demands on this administrator were significant. In addition to regular administration and athletic duties, the administrator was expected to attend sports functions, activity competitions, board meetings, and other such events. Teacher 3 commented on the demanding lifestyle. "The position of an administrator around here has always been somewhere between 1.25 and 1.75 positions." This was not seen as an expectation, but more of a requirement. He continued, "if you're going to be successful, you're going to have to do a little more than what it says on the contract."

The most considerable concern from the staff came from the issue of balance in the administrator's personal and professional lives. Teacher 4 noted "I think that the hardest part of his job is balance and time management." This same staff member cautioned against the mistake of putting professional obligations above all else.

You need to set your limits and you need to be able to say no when it's ok to say no. So that not only can you do your job effectively from a professional standpoint, but that you keep yourself happy personally so that you can do your best job all the way around.

Finding a correct balance was an issue of concern for the administrator as well. Even with a cellular phone as a constant companion, quality communication with his family was considered both a goal for the future and a regret of the past.

Public Relations

An ever present concern for the private high school administrator was the influence of the parental community. While their influence ranged throughout the curricular and extracurricular environment, specific mention was made to their role in the decision making process of the principal. He initially spoke of the political groups within

the system. "I think when you have a small community like this, the parents are extremely involved. Trying to handle all the different tangents and different groups can be very difficult." Teacher 2 added to this, "you have to be good at politicking, you really do." Keeping the various social and economic groups content became an important issue for many of the staff because these decisions were often reflective of the type of organization this school would become.

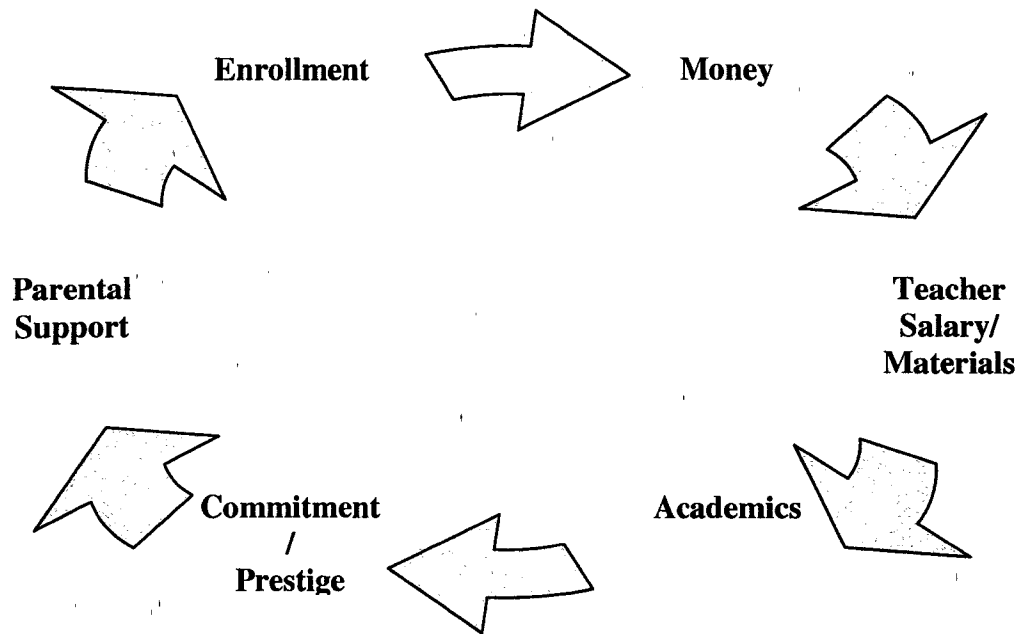
One of the more prevalent issues that emerged from both the administrator and staff interviews was the ever-present budgeting concerns. Both groups saw these decisions as both a help and a hindrance. Obviously, they were a hindrance because the school was not always able to offer the programs or provide the services that it desired. However, many saw budget concerns as a constant reality check against the goals and mission of the school. These goals tied in closely to community perception, as articulated by teacher 4.

We are different things to different people, but one thing that we count is our test scores, our scholarship dollars that are brought in, the colleges and universities that our students are accepted into, and that academic reputation is something that we stand on...Based on the type of student that we let in, that reputation can either be upheld or disintegrate. If it disintegrates, then we don't have that reputation to keep the school running.

Consistent with this comment, a significant portion shared the vision of this school as an elitist one. With standardized score reports ranging from the 97th to 100th percentile, the school seemed to be monitoring these perceptions closely.

During one staff interview, the researcher was able to sketch the forces at work in this vision.

Table 4: Case 2 Elitist Push



However, this vision of the school as an elitist one weighed heavily against the perception of many other staff members. This portion voiced opinions for social, economic, and academic diversity. The principal was forced to consider these voices, not to mention those of the parents, whenever significant budgeting decisions had to be made.

Luckily, some of the more generous parental subsidies were able to offset some of the lower income attendance. This was achieved through a budgetary system whereby families would pay a tuition that corresponded to their income levels. More affluent families would pay full tuition, while others could pay a reflection of their annual salary and household expenses. Moreover, significant gifts ranging from a large Coca-Cola

subsidy to private donations from local businesses (counted as tax write-offs) made the financial burden a bit lighter for the administrator.

Enculturation Process

Looking back on the initial movement into the principal's position, the administrator characterized his induction period as somewhat difficult. "When I first got this job, there were so many unknowns and so many details to get over that I was somewhat petrified to come to work everyday." His initial posture could be characterized as cautious to somewhat defensive. "I was assuming the worst, hoping for the best philosophy." He readily admitted that mistakes were made, characterizing them as "rookie mistakes." The staff reflected these feelings, noting the difficulties of assuming that position at such a young age. "It wasn't something where it was just this easy transition. He had to go to school; he's got a wife and kids at home."

This transition was aided, however, by the fact that he had been in the school serving in a quasi-administrative position for a few years before moving into the principal's position. He remembered, "I kind of got sucked into doing a lot of administrative things. I got to see how I fit in to the whole administration picture through that year." He also noted that the staff respected both his work within the school and outside its walls. "They respected where I came from before, they knew I was in management before, they knew I was in leadership positions before." Coming from the ranks of the school contains both its positive and negative characteristics. Luckily, this administrator was able to draw from an established credibility rather than resentment for success.

However, teacher 1 noted that this administrator was not out of the woods yet, likening his tenure to a honeymoon period. "I think every new principal goes through kind of a honeymoon period." He maintained that time would still dictate the fate of this administrator. "As time goes by, the luster wears off of the new guy, and then... I always like to think of a three year cycle. I think next year will be the acid test for this administrator." Despite his age, many teachers also recognized the difficulty of the environment for a new administrator. Perhaps most candidly, teacher 2 noted that "he works with a bunch of prima donnas. We're really vested in the school, and we have people here who are really invested. I think that's both a positive and a negative." To this, she added her characterization of the recent turnovers. "We have a staff that functions in some sense on their own. We've had to be the backbone of the school. And as a result of that it's hard to be in that principal's position." Having an autonomous staff that functions relatively independently of the administration can be a benefit for a new administrator just learning the ropes of the profession, but difficult when the time comes to establish a long term vision and direct the change process.

To this end, the superintendent of the school commented that "he is being cultured to the school and its mission, and its history and its tradition." When considering the school culture the administrator again looked to his previous experience as a staff member.

We went through a lot of things that year that as a school, I think brought everybody together, and I was part of that. So I think the culture, as far as me fitting in that culture, was originally established.

These previous experiences gave the administrator a greater perspective on the ins and outs of the enculturation process.

One thing that the previous administrator did when he first walked in, and he knows he made a mistake in doing this, is he walked in and flip-flopped the whole darn place. Changed all the rules, rewrote all the manuals, policies, and completely did a 180 on a lot of stuff, and he did it in his first year, and there was a lot of animosity. By the time he left he wasn't really well liked by some staff, and by a lot of parents, and it was pretty tough.

Taking a lesson from the previous administrator, this principal understood that the process of enculturation is one which requires time and the development of trusting relationships with both parents and staff.

Autocratic Transformation

Another important change that the administrator cited was his tendency to be more autocratic in his leadership actions. This manifested itself in his choice of decisions to leave up to the staff.

If there are certain things that I open up for discussion, or that I want people's input on, and I know it was going to take them forever, I have more of a tendency now than I even did last year, to say, here's the way I think it should be, what do you think?

Rather than feeling possessive about the decision, or bound by its responsibility, the administrator cited two reasons why this shift has occurred. The first factor involved was time. "If I perceive something last year that I would have given a lot more time to... a lot of it comes through experience." The second noted influence on his shift toward

autocracy was simply that trust was being developed among the staff that he would make reasonable decisions. "I'll do that with some things, more so now than previously, because I think my credibility is more there with the staff, and they trust me with decisions." However, there was still some learning to be done, as evidenced by his general comments on the matter.

One on one stuff, group stuff, the more they trust me the more they trust me to make the right decisions. And a lot of people don't want to be bothered with the more mundane, tedious decisions. Some of them can't believe that I wouldn't bring it up to them.

Being able to prioritize issues for participatory decision making involved several factors for him. The ability to understand the characteristics and desires of the staff is a process of learning that requires time.

Social Systems

One of the most important themes to develop over the course of data collection involved the administrator's conception of the social/ bureaucratic spectrum within the school. This was specifically dealt with on the levels of inclusion, collaboration, control, and friendships.

When first considering the role of inclusion in the decision making processes of the school, this administrator spoke in general terms such as "I ask people for opinions," "I try not to be the sole driver in the whole thing," and "I ask people for help." However, as he delved more fully into his actions and thoughts on collaboration, he spoke to some relationship building aspects of the process.

Put it into action and to see...even if I personally feel that there is a good chance that it will fail, as long as there is nothing adverse to the students, I don't have a problem with that. I think it's a good relationship-building experience for that person or that group of people.

This approach was considered to be much more favorable than the alternative. He added that "people that don't have input have the tendency to feel out-put." These feelings were reflected by the staff in several instances, noting his reserved, yet welcoming behavior.

However, there was also an allusion to a balance that must be kept when engaging in the participation process. This was first articulated by the teacher 3. "I think that he is inclusive, and yet has the confidence to make a final decision when it needs to be made without alienating people in the process of doing that." This two-way communication pattern was articulated in another venue, stating that "He's more of a collegial player, like, in the sense that we're all in this together." Mandates were considered by the administrator to "break down trust barriers, and different people respond to that in different ways." The balance between sharing the decision making power with the staff, and absolving oneself of the responsibility for any decision, was evident throughout the data collection period.

One cannot discount the role that age played in this process. Of his more experienced staff, the administrator commented, "yeah, my thirty year teachers that are running around, there's no way that I would go up to them and try to rule them with an iron fist." He also noted the importance of their opinion on controversial issues. "I'd have to get buy-in from them, and you know, sometimes maybe the idea is theirs... and get them motivated in the right areas." This characteristic, understandably, was much

appreciated by these staff members. "I think he knows better than to start trying to tell us people... there are seven or eight of us who have been here for 25 years, and I think that's been a real good thing." The administrator's understanding of and deference to the social dynamic of the school through the lens of participatory decision making is evident of a realistic, rather than reflective, understanding of educational theory.

An interesting issue emerged through the course of the participation discussions, springing from the possible promotion of a teacher into the position of athletic director, a position currently assumed by the principal. While he looked forward to freeing up his administrative schedule, there was a certain amount of trepidation about giving up control of this responsibility. He noted that "I'm 100 percent behind the fact that I trust people to delegate jobs, and even though they're not going to do it the way I would do it, it's going to get done ok." However, at the same time he expressed anxiety about the transition. "What I don't want to do is set them up to be in that position where they get hung out to dry if something comes down." He articulated his desired role in the process.

I'll be right there with her to help her deal with them until she gets comfortable. So I'm reluctant to let go until she can show me a time or two that she can deal with situations, I'd be more than happy to let her go. But until then, I'll let her handle it as much as she wants, and I'll step in when needed kind of thing.

Though it could not be decisively concluded with the collected data, the researcher interpreted this to be as much about the administrator's reluctance to give up control of something he had worked hard on, as it was concern over her ability to handle the job.

Another theme that emerged during the discussion of participation was the administrator's conception and reflective utilization of his knowledge of group dynamics. With this came a certain acceptance of negativity among the staff.

No matter what kind of population you put together, even if I was to wipe out every teacher in here and replace them with a hand picked people that I could mold, you're still going to have somebody that is going to be the negative one.

In response to this expected negativity, the administrator commented that "you don't necessarily have to beat them; you just have to figure out a way to utilize it is huge, and understanding group dynamics goes hand in hand with that." With the acceptance of certain group roles came a holistic feel for the health of the school culture itself. "You can tell if there are components that are starting to falter and their development isn't moving along as fast and quickly as others, it's real easy to see the weakness, the spot in the structure."

In addition to mere participation in school decision making, there were considerable effects on both his personal and professional relationships within the school. With regard to his professional interactions with the vice principal, he expressed his happiness. "We're better friends now professionally than we ever would have been outside the building." The working relationship had developed into what both considered a familial feeling. "We're so close together and we spend so much time together, it's like having a big sister." This relationship also allowed both to express emotions such as frustration, stress, and even humor. "But we have a good, kind of fun, working relationship. We can give each other crap, and be a huge smartass most of the time in a

lot of situations.” As a social network, the staff made a concerted effort to eat daily lunch together in the cafeteria at the same time as their students.

When considering his personal relationships with the staff, the administrator noted more meaningful changes in his interactions. In regard to a younger friend on staff, he commented on the changed nature of their friendship.

When I came in it was very important to me that he knew he was a friend, we’ll have discussions, we’ll have a beer here and there after games or whatever, but you’ll never see me, you know, I’m never going to go to the strip club with you, I’m never going to binge drinking with you, we’re never going to go party together or whatever, it’s just one of those things where there’s got to be the professional side of it that’s intact at all times. With the increased demands of his profession, the administrator understood that permanent professional lines must be established.

Clarity

Clarity was a characteristic highly praised by this administrator with regard to its utilization for staff buy in, conflict resolution, and time management. The administrator submitted that “as far as if you’re looking for people to buy in, the more clear they are on how you want things to operate.” In his opinion, clear, concise direction was a way to achieve mutual understanding of issues. “I want that to come out right away. I want to get everybody on the same page, then we can move forward.” Secondly, there was a noted adherence to clear communication because of its role in conflict resolution among the staff. “There’s a tendency that when the clarity isn’t there, things have a tendency to escalate substantially more than if somebody was just against the idea.” Confusion or

unclear direction was considered to be an unnecessary evil for this administrator. Lastly, time was presented as a driving force in his dedication to clear communication with the staff. "If I'm not being clear enough, it takes that much more time for me to deal with the situation." The staff reflected these sentiments, as well as appreciated his respect for their busy schedules. Teacher 3 commented that "I really like his meetings because he is very thorough and covers his material. He doesn't drag on, I mean, he's just very succinct." Teacher 1 agreed, echoing the same sentiments. "He completely, he doesn't rush through it, he completes what he needs to complete, but he doesn't go on and on unnecessarily." Teacher 4 related this characteristic to the administrators training in the forest service. She alluded to the fact that this administrator had been faced with much more critical and imperative situations in previous employment.

Theory

Being an administrative intern forced a significant amount of on the job learning on this novice administrator. He observed that when he began his role as principal, I wasn't even in the program yet, I started right at the end of that year. So I didn't have a lot of the theoretical, I didn't have a lot of the model stuff to reflect on, I didn't have a lot of that stuff in my bag of tricks.

As a result, his theoretical leadership preparation occurred alongside his trial and error experience as a school leader. As time passed and his training caught up to his experience, the administrator acted with theory in mind. "For a while when the theories were fresh in my mind, I had a lot more of a tendency to utilize the theories... I actually thought about the theory and how I would utilize it in certain situations." However, he

honestly admitted that as his environmental experience increased, "I've kind of grown away from that."

The administrator commented generally about his utilization of theory in daily action. This process was characterized as reflective, rather than anticipatory. "I would say the theory comes into play more in the reflection component of my leadership than actually in forethought." Most decisions were made without theoretical anticipation. "I would say it mostly happens, rather than predetermined or thought, as far as the relation to a theory goes." Upon reflection, though, there was legitimate attempt made to understand his action in regard to theoretical models.

After the fact, go back and look at it, and tie it into a theory, but as far as thinking about it, and taking action on something, I don't really put it into a category of a theory. I just basically act on it.

Moreover, this administrator tended to look back on theory as a single unit, rather than a variety of tools and perspectives by which to improve his professional actions. "I don't use as much theory to classify each and every situation. I have a tendency now to look at the theories as a whole and utilize the parts I need." There was, however, a connection of these theories to his personal leadership style. "I feel like I just kind of like combined portions of the theories that work for me personally, and it's to the point where I don't think about it that much anymore."

When asked to think of a situation in which he used his preparation in his professional action, the administrator responded that it mostly occurred in his newer relationships.

“When I hire new teachers I have a tendency to revert back to different models, different theories of leadership and development, ways to motivate people...The more I get to know people the more I trust my instincts, the more I trust my experience.”

The administrator characterized himself as moving completely away from theory during school crises. “So many things happen so quickly, you don’t have time to really internalize what’s going on.” There was, however, a moderate reflection before his actions. “I don’t just blurt out what pops into my head, but I don’t have time to do anything besides think of my response and whether it’s important at the time.” Ultimately, the administrator admitted that this was a personal judgment call. “I just trust my experience, my natural mannerisms, and abilities to govern what I do.” While theory in a general sense played a role only through reflection for this administrator, further exploration is needed of specific theories.

Servant Leadership

This administrator was most certainly a servant leader. This characterization came from 360 degrees, and every faculty member in the school. When considering this administrator’s role within the school, the superintendent commented that “Greenleaf’s servant leadership would best describe this gentleman here.” The principal agreed, stating that, with regard to his relationship with teachers, “I want to please them, they want to please me, and the bottom outcome is better students.” Interviews with teachers brought out the same point. Teacher 3 noted that “he tries to see what we need and tries to help us with it.” Perhaps most characteristic of the administrator’s actions, researcher observations included that the assistant principal had the large office by the window; the

principal had to build his own office out of storage space that was once used for printing supplies.

The administrator's service-oriented posture added greatly to the community feel within the school. During one reflection period the administrator commented that "I was very diligent about not focusing strictly on my duties, but trying to help out as much as I could around the school." This holistic organizational perspective aided in the daily operation of the school. At one point, the assistant principal commented that "things at school are running smoothly, and I don't just think that's because there haven't been any big problems."

This style of leadership also had its drawbacks. Instead of the 'philosopher king' (Callahan, 1962) characterization that many expect from an administrator, his leadership was characterized by teacher 2 as "not as visionary, he's more practical in of being of service to others." The superintendent cautioned that "It would not surprise me one bit that he's underneath the bus changing oil one day while, I mean it's just the kind of guy he is and somebody's got to do it. He's getting it done."

The practicality of the administrator's actions, however, became almost overwhelming. Observations included: receiving his air-brake license so he could drive the school bus for sports and activities, weekend bus driving, fixing scanners and computer equipment, tack-welding for the activities center, and lawnmower maintenance. His activities keys took up an entire metal cabinet on the side of his office. When asked about the overwhelming burden, the administrator replied that "this year I'm doing a lot more bussing stuff. It's my own fault, but I'm just trying to save the kids some money." Staff also considered his dedication to the organization to be overwhelming. Teacher 1

commented that “he drove our speech team to state on Saturday, warmed up the bus at like 6:30 and drove us.” While all staff members were delighted with this administrator’s actions, many expressed concern over its toll on his personal life.

Concern was also expressed over these duties interfering with his academic leadership within the school. Perhaps most pointedly, teacher 1 submitted that “he can’t be everywhere; so I worry about that undercutting his ability to function as a leader, and also what it’s going to do to him psychologically in terms of just the strain.” The battle between the administrator’s desire to please everyone, and the necessity to prioritize leadership actions and have a private life, seemed unrelenting.

Instructional Leadership

The evaluation process for staff within the school was characteristic of many other high schools. First, second, and third year teachers received two informal observations a semester, one formal evaluation a year, and got a cumulative evaluation every year. However, teachers with more experience were not required to have any observations at all. The principal readily admitted that “since I have been in this position I have not evaluated a teacher that has more than ten years yet.” The bulk of his work was with the younger teachers, however, even this proved to be a daunting task. “I think I have five [teachers that require evaluations] right now, so with that I’m lucky to get an informal evaluation a semester, and a regular evaluation every year.” However, this burden was lightened somewhat by the other staff members in the building through a mentoring process whereby all younger teachers were paired up with a master teacher for curricular advice.

There was an evident desire to focus more on the instructionally related aspects of his job. The assistant principal even spoke of the principal's desire to get involved in the instruction process. "I know that he has wanted to at times to actually take some teaching on himself." Researcher observations noted that the two daily hours that are spent on his role as athletic director were those that could be spent on supervision and curriculum development. Teacher 1 conveyed this point of view.

If you have faculty that are not doing their job, you've got to monitor them, and you have to help them with their development. But that's hard to do when you've got a softball game to plan, a basketball gym to get ready.

Much like the situation with his service leadership actions, the managerial time demands of the position left little room for instructional responsibilities.

Another factor at work with regard to this administrator's instructional leadership actions was the age and professionalism of his staff. To this end, the administrator candidly admitted "I'm young and they see me as a younger person who's got much less teaching experience, I stay interested in what they're doing and I don't fake it." He also expressed his supportive action with regard to their motivation. "I trust their professionalism, and I think that is a huge motivator for a lot of people that I actually have trust in their professional abilities." Teacher 1 agreed with this characterization, regarding this as a strength. "He's gotten out of our hair, let's put it that way."

The administrator did express a certain frustration with some of the more experienced faculty with regard to their reluctance to change their teaching practices.

I have a couple of teachers that are far along in their professional careers, and they have a pretty small window of opportunity in their minds to really do too much more. So motivating those guys to continue is... I have the hardest time getting them to get away from their yellow notes, and find out what's new and interesting about their curricular areas.

Part of this disconnect springs from their very different conceptions of what instructional leadership should look like. "Their belief about what evaluation is supposed to be is very traditional. It's someone coming into your classroom, watching you teach, and giving you an evaluation." The administrator argued that this should not be the case. "It becomes a dog and pony show; of course you're going to put your best foot forward when your administrator is in the room, especially when it's a planned time." Teacher 4 commented on this disconnect as well. "I think that's a challenge for him, trying to bring them along and realize that that isn't the best way that he can support them as instructors, and to direct them in improvement as instructors." The disconnect between what some members thought the evaluation process should look like, and the reality of the administrator's actions, opened the door for discomfort on both sides of the situation.

Aside from the formal evaluation which occurred once a year, the administrator's evaluation process for staff was quite informal in nature. He considered the formal observations problematic in nature.

I feel a better measurement for evaluating teachers and staff is having a perception; being around the building. Talking and listening to parents. Talking to kids and listening to kids. I could walk into a classroom and do a formal evaluation, and it could be the best unit ever taught by that

teacher, and I guarantee you with me being in the room, those kids are going to be different.

The administrator relied oftentimes on his holistic perception of situations, rather than the documentation and observation of specific incidents. "It's obvious that you know your material otherwise we wouldn't have you teaching, but how much of that are the students getting. What kinds of little things can we look at?" One specific technique involved having the teachers tell him one thing over the course of the year that they wanted to work on. This could involve their teaching style, persona, or even student perception. At the end of the year, the administrator would write up a review of his interpretations, observations and characterization of this one aspect of their teaching.

Perhaps teacher 2 articulated the perception of the staff most concisely:

I think there will probably come a day when he plays a larger role in our curriculum development, but frankly I think the attitude is right now, you're the pro's, you know what you want to do, how can I help you?

Developing the knowledge, experience, skills, and perspective to be an effective instructional leader proved to involve a tremendous amount of time as well as instructional credibility.

Peer observations and mentoring were also stressed as part of staff development. "I offer at any time, teachers can go watch other teachers, I'll get them subs, I'll watch their classroom for 25-30 minutes, or an hour, whatever they want." These opportunities focused primarily on the younger staff. "I allow a lot of peer mentorship, peer counseling, especially with the newer teachers."

Lastly, there was a sincere attempt on the part of the administrator to collect and individualize opportunities for professional development. "I open the door for the ability for them to go; I collect a slue of professional developmental stuff that's going on in the region." In addition to the provision of opportunities and materials, the administrator also took advantage of the small school size to allow teachers to teach to their own interests. "I try to keep them changing up their class loads a little bit, so they're not, you know, in a rut. I give them an option to think and create new electives to be offered." Due to the staff age and experience, this administrator's role with respect to instructional leadership could be characterized as a work in progress. Luckily, no one would agree with that statement as much as himself.

Developmental Supervision

The administrator made specific mention to his use of developmental supervision in his professional practice. This was cited as being most effective with regard to "their thought, their development, how they're going to fit into the culture of the school, how to motivate them to get involved." Additionally, credence was given to the individual process of development of each individual in the staff. "It's such an individual characteristic of where people are in their growth and development stage." These interpretations spilled over into their personal lives as well. "Many of them are in different phases in not only their personal lives, but professional lives, their educational lives, everything about it."

From a developmental standpoint, the administrator noted that "there are some people that you really have to cultivate, and some people that you really have to stay on top of to get moving and trod along." The administrator reflected upon a situation where

tasks were given to an employee not because they needed to be done, but because he was able to develop a trusting and productive relationship by helping them with the tasks. This relationship grew to the point where the administrator was able to “get him to say what’s important to him, what’s important to me, and we’ll kind of come to an agreement on something that should be done next.” At the time of data collection, the administrator expressed his desire to “try to facilitate a self-driven motivation” for this individual.

Transactional Leadership

An exchange of compliance for reward was also witnessed in this administrator’s interaction with staff. He spoke of the motivation for many teachers within the school as a financial one. When considering their opportunities for professional development, he commented that “the nugget hanging in front of them is the financial nugget.” This was expressed by increases in pay for higher education courses, degrees, and certifications. One specific situation was observed where the school was anticipating a budget surplus for the financial calendar. With the profits (and the consent of the superintendent), this administrator was able to procure half of the surplus for teacher bonuses. The amount of money wasn’t known at the time, but its motivational effects could be seen on the faces of the staff.

Another way this administrator utilized transactional behavior in his leadership actions was through the provision of professional opportunity. The researcher noted several occasions where the principal would cut out an advertisement in a magazine or out of a piece of mail, and offer the opportunity directly to the teacher. He noted, “I have a tendency to keep collecting all these opportunities so they’re not so expensive, so I try to not give people the wrong perception that I want them to spend a lot of money.”

Though there were expressed budgetary considerations, he articulated that it was always worth the effort. "I feel I can at least help with it, I can pay the entry fee, I can figure out somebody to stay with, I can get them that kind of thing." These rewards were appreciated and utilized by the majority of the staff.

The administrator also reflected on the interconnectedness of personal relationships with the rewards-based transactions that sometimes occurred within the school. He first noted that the transactions that occurred were not always intentional. "I think it's kind of a give and take reward-wise all the time, even though it's not necessarily intentional." Secondly, he looked at the transaction process as a small part in the greater picture of organizational leadership.

If I wanted to get somebody to be happy about the raise they are receiving next year, I'd find a way to give them a stipend, or whatever makes them happy to be here. Professionally that doesn't just help me, it helps the school, students, the overall persona the person puts off, and how that flows into the culture and relationships that they have in the school.

Much like the way his servant leadership behaviors had ramifications throughout the school, so did these transactions. Though the administrator reflectively utilized these methods, they were used in conjunction with a bigger vision of school improvement.

Transformational Leadership

When considering the building administrator's role with regard to transformational leadership, data concentrated around the themes of vision, trust, respect, and personal relationships.

Characterizations of this administrator as a visionary leader were somewhat inconsistent, but all staff members understood its importance. Teacher 3 rightly posited that “if you’re going to be successful as a private school you need to have a vision.” Staff members specifically articulated the opinion that “he is somewhat the compass, saying this is the direction we need to go” (teacher 1). A third spoke of his vision only with regard to her own. “His vision and my vision are one and the same... He and I think a lot alike in terms of what’s a priority for the school” (teacher 4). Other teachers were less confident that they actually understood the vision that the administrator had for the school. These comments focused on his attempt to implement his ideas. “I think he has ideas that he wants a place for the school to go and is working slowly to implement those” (teacher 2). Furthermore, these teachers looked to their participation in bringing these ideas to fruition. Teacher 3 noted that “he’s pretty good about when he comes out leading the way, and getting us to talk about it.” However, all staff members readily characterized their administrator as focusing primarily on tasks, rather than larger matters. “So I’m not sure where his vision is. It comes out more if he’s talking to you about a specific thing, rather than in overall issues in the school” (teacher 2).

There was, however, a very strong sense of community within the school. Teacher 3 spoke of the administrator’s “inclusive attitude where we’re all in this together.” When reflecting on his attempts to do this, the administrator immediately placed his individual actions in the larger context of organizational development.

I like to think that I try to motivate people as much as possible on an individual basis with the final goal of that being to strengthen the school

itself and the educational level that's given here, the education, the expertise, and the professionalism.

The strength of this cooperative working environment was evident as a significant motivating force within the school, as teacher's pay was lower than that of the local public schools. When asked why they stayed in this school the answer was consistent across the board, articulated by teacher 4: "The environment. It's the working environment."

Another aspect of this administrator's transformational behavior that was noted by the staff was the presence of personal and professional trust. In an interview with one staff member, she made note that she was not only comfortable with her ability to communicate with him, but trusted his discretion in matters of a personal nature. The assistant principal noted, "I feel like I could go talk to him about any matter, but there's a high degree of confidentiality in what we talk about." Several other interviews also brought out similar characterizations, focusing on his "character," and "honesty." This trust was not only reciprocal, but was built on a foundation of respect. One of the most telling examples of this respect was the attention that the administrator gave both staff and visitors. "It doesn't matter who is in his office, no matter what we're talking about, whether it's serious or not at all serious, he pays attention to whomever is in his office" (teacher 4). The researcher noted this same observation on several occasions during data collection.

Personal relationships were also a significant priority to this administrator. "I try to stay a little bit personal with people, try to ask them how things are going in their personal lives, stay in touch with that." However, as mentioned before, there were certain

limits to these relationships. "I allow myself friendships; I don't allow myself to be put into positions that would compromise my view of their position within the school, and how I would evaluate their position." These personal relationships were tested during the time of data collection, as a former student, whose sister was a current student, had died the week before. After an emergency faculty meeting and the provision of counseling sessions for students and staff, the administrator had time to reflect on the incident. He placed it in the context of any other working environment. "We're all dealing with demons, and just because I'm technically your boss doesn't mean my heart is not pouring out for you. I'm going through this with you." Similar sentiments were expressed with regard to the staff. "I have a genuine interest in every single thing a person has going, and I care about every single one of them personally and professionally."

In addition to the establishment of personal relationships, there was also a sincere attempt to guide these staff members through a process of personal development. However, there was a realistic admission that this process would take time. "Now this year I'm finally at the point where I'm able to start working on these individual concerns." The minutia of managerial concerns, however, had a detrimental influence on this goal.

Advocacy

Mention must be made to the role of this administrator as an advocate for his staff. This role was often compounded by the private nature of the school, putting parents in a larger stake-holding role. When questioned about this, the administrator expressed a firm belief that "the student has the parent as an advocate, I'm your advocate." He later expanded this answer.

Here's one thing that I preach all day to my teachers, and that's unless you're doing something that's completely outlandish, against the law, goes against all your professional values, and the values of this institution. I'm going to err on your side.

In a subsequent conversation, the administrator jokingly added that he would have to live with the teachers for as long as he remained in the position. The students would only have to be dealt with for four years.

Change

One of the most exciting aspects of this novice administrator was his acceptance and ability to change, both personally and professionally. This was most likely because of the dynamic situation in which he had been placed. "I have no problem resetting my preconceived notions with what the reality is over the course of the year." The acceptance of change also emerged with regard to his personal life.

For self-betterment purposes, as far as individually as well as a team like they are, why wouldn't you continually evolve your teaching style, and your curricular ideas, and all those things that continually evolve in your position?

The administrator also expressed that keeping things fresh within the school was often a daunting task. "It's such a dynamic work environment that people, in fact even a couple of my core teachers, they want things to remain the same." This mentality was considered to be at best, unprofessional, and at worst, damaging to the students. "A lot of times the programs are working, they may not be working for a couple of kids, and that's enough of a reason to look at a change." The administrator knew that in order to push this agenda

with the staff, he would have to utilize significant amount of his developed trust and personal relationships.

Reflection

When considering the larger question of reflection within professional practice, the immediate response from staff members focused on time constraints. More than one teacher commented that “he’s too busy to reflect.” Researcher observations correlated with that point, noticing repeatedly that conversations often revolved around events and tasks, rather than larger issues and ideas.

When this administrator was considered reflective, it was in a retrospective posture. According to the assistant principal,

We will talk about an action that we took, and then our thoughts on it after the fact. Was it something that was helpful, was it something that was helpful, was it something that he and I would do in the future?

Upon considering his progress through the first year, however, this administrator remained positive. “Things that I put as primary, I got accomplished; things that I put as secondary, I’m still working on. It’s going to take me a little extra time.” Once again, this comment is reflective of the long-term perspective that an administrator must have when judging his/her success.

Future

Generally speaking, this administrator seemed genuinely content in his position. While regretting the time commitments, emotional, and personal strain that the job carried with it, he also noted a calming process. “I think I finally was able to settle down enough into one where I was really able to enjoy it.” When asked about his longevity in

the position, he remarked that he wanted to see his children pass through the school, and will do everything in his power to stay. However, this was qualified with the comment that “the last thing I want to do is be a worn out administrator.”

Case 3

Context

The third case represented a private, parochial, high school in the northwest. The administrator had practiced administration previously; however, this was the first year after completing his Masters of Education Degree. The administrator was 33, and lived with a wife and two young children. Both he and his wife previously held well paying jobs in another part of the state. When asked about the move, the administrator replied “I thought I’d take a leap of faith and jump into this thing.” Certainly one factor that played a part in this decision was the fact that he had grown up in the community, and still had very strong family roots around the town.

The history of the position could at best be considered turbulent. The administrator noted that “when I first got here, I was the 4th principal in three years.” To clarify the obvious confusion of this statement, it was revealed that the previous administrator had been dragged out of the school in handcuffs after an altercation with the previous superintendent. Both were let go, and the district was starting with a new administrative framework.

This was not the only difficulty. The conflict between the previous administrators had opened a rift between the teachers in the school as well, splitting them almost in half. Not surprisingly, many teachers left with the old administration. The current principal mused that “of the group [of students] that first graduated with me [as principal], only 7 teachers remained from when they started as freshmen, so there was a tremendous amount of turnover.” Moreover, the staff that did remain did not have high opinions of administrative figures. Teacher 4 commented that “administration was understood to be,

and was, transient. It was filled oftentimes by people that had retired from the district, and then come in as a side-gig almost.” In addition to the jaded faculty, the priority of replacing the administrator forced the decision to be made quickly. “They never brought in the teachers to help make that decision or asked them what their feelings were...I think a lot of people resented that.” As a consequence, the first few months of his administration were spent driving out many of the ghosts of the past. Looking back on the position, the principal commented,

I even had one or two staff members that aren't here now, that they pretty much adamantly would almost be defiant. This is what I'd like you to do... then the next day, not behind the scenes, you know, they would make it obvious that they weren't doing what was asked.

The school superintendent humorously characterized these people as a bit tough on administrators. “I mean, these are all guys that sit in the back, you know, and just wait for you to make a mistake, and I'm sure that's what he walked into.” These contributing factors shadowed the fact that he was a 33 year old assuming the leadership position for a large private high school.

The context carried with it some considerable benefits as well. The administrator was the first to bring these up. “The first year I was here, I had to hire 10 people, so instantly I was able to find people who I basically wanted, you know, personality type and that kind of stuff.” Furthermore, another teacher looked toward the external environment as a source of support. “He knows the community, he's lived in the community, he has family ties which sometimes can be a detriment, but I think in his case

it's been positive." Lastly was the fact that the school needed leadership, as noted by teacher 4.

This current administrator was brought in as a savior. And he was. It was just so refreshing to have someone that wasn't part of one side or the other, and someone who was from [this school], tried and true, came back.

All of these factors, combined with the fact that the administrator had not yet received his master's degree, set the professional stage.

One of this administrator's first priorities emerged as overcoming the conception of transient administration. "I think we made a point that people realized we weren't going away as far as myself and the other administration. It's been pretty positive from there." Teacher 2, who had been there over 30 years, contributed that "he has done a very nice job, you know, in trying to make the environment more pleasant, and give some stability to the school. The stability is what he needs to give."

Nonetheless, there was an expressed curiosity as to why someone would willingly assume this position. Teachers repeatedly told the researcher, "You should ask him that sometime, you know... Why did he take the job?" Perhaps the best answer came from teacher 1, when she admitted that "I honestly don't think he knew what he was getting himself into." When reflecting on this situation, the administrator was frank. "You learn a lot about yourself, I mean there have been some days where you sit here at work, 6-7 o'clock, just beat up. Just going holy crap, what am I doing?" This anxiety, however, was often followed by a deeper and more positive message. "Then you might have four or five really positive days in a row, make a positive difference in a kid's life. Get some positive feedback from somebody, and away you go."

Luckily, the school facilities were first-rate, primarily constructed through private donation. The school had two gyms, a brand new weight room, wireless networking, and laptop computers for the staff. A grant had been submitted for a new computer lab, which seemed to be the only out of date facility in the school.

Academic Preparation

The administrator considered his academic preparation to be very effective. His comments focused mostly on his internship program as principal. "I think the most effective part of my university stuff was when I had the opportunity to be in that intern program, where I had the job, and then I had the connection still with the university." He considered the learning process to be a tough one, but aided by professor mentors.

It's somewhat trial and error, but you also have someone who can evaluate it, and especially as a first year administrator. He'd say, well you could have tried this; you could have tried that, so that was a great part of the program.

The administrator also commented on specific master's courses, such as school law and public relations, which aided in his theoretical handle on the heavy leadership burden.

Another aspect of his preparation that made an impact was the social network that developed as a result of the participation in a master's program. "It's fun to hear how other people handle the same situations, because even all the schools are different in demographics and different in a lot of ways." These connections were also extremely effective with regard to networking. "Probably not a week goes by where I'm not in contact with somebody out of that program about a question, or the other thing is, you just develop relationships."

An expressed limitation to his master's program was the fact that many school districts in the state were small, and lacked much of the necessary human resource infrastructure for a novice principal.

We're not fortunate that we're going to those big districts where you have those departments set up, and you have those district lawyers. I have friends that stuff, and buddies that are out in the sticks, they don't have that; they have to do all of those things.

Consequences for mistakes made in these areas were considered to be severe. "The problem is in order to do that stuff, you're learning by trial and error which unfortunately with HR and personnel stuff, that can burn you pretty good." The ability to go through the master's program while engaging in school leadership on a daily basis was considered to be the single largest influence on his development as a reflective practitioner.

The administrator also expressed regret for leaving his studies for a year. You get to the point that you're so excited to be done, and you think to yourself, "I am never going to take another class again," because you're drained from those two summers, and right now, I think professionally all of a sudden again after a year I'm looking for some summer opportunities to go out and learn again. I think you realize that you can't stop.

While his full course load burdened the administrator to the point of desperation, an adequate amount of coursework could be balanced with his professional comfort level. This balance held the capacity to transform the resentful into the curious.

Cognitive Style

The MBTI instrument characterized this administrator as possessing traits of introversion (10), sensing (13), feeling (4), and judging (11). The first noticeable characteristic of this type is their dependence on factual information. “When they see from the facts that something needs to be done, they pause to think about it. If they decide that action will be helpful, they accept the responsibility” (Hirsh, 1991, p. 15). Furthermore, “they can remember and use any number of facts, but want them to be accurate” (Hirsh, 1991, p. 15). This credence in factual information also predisposes them to be uncomfortable with imagination. “They tend to be somewhat suspicious of imagination and intuition and not take it seriously enough” (Hirsh, 1991, p. 15).

Another characteristic associated with this type of cognitive style is their inward looking nature. “They may retreat, becoming silently absorbed in their inner reactions to sense-impressions” (Hirsh, 1991, p. 15). However, “behind their outer calm, they are looking at things from an intensely individual angle, often a humorous one...even when dealing with crisis; they can look calm and composed” (Hirsh, 1991, p. 15). This characteristic was evident in the administrator’s leadership duties, as staff often referred to his “poker face.” Inwardly, this type is said to react with passion and oftentimes humor. “Their private reactions are often vivid and intense, and sometimes quite unpredictable to others” (Hirsh, 1991, p. 15).

These characteristics differ somewhat with what they present to the outside world. “When they are on duty and dealing with the world, however, their behavior is sound and sensible” (Hirsh, 1991, p. 15). These types are said to be “extremely dependable, and devotedly accept responsibilities beyond the call of duty” (Hirsh, 1991, p. 15).

Furthermore, they are known to be “thorough, painstaking, hard-working, and patient with particulars and procedures” (Hirsh, 1991, p. 15).

ISFJs are often considered to be a stabilizing influence in an organization. “Their perseverance tends to stabilize everything with which they are connected” (Hirsh, 1991, p. 15). They have a respect for their subjective, feeling impressions, and “often choose careers where they can combine their careful observation and their caring for people” (Hirsh, 1991, p. 15). These characteristics all point toward an interest in human relationships. “Kind, sympathetic, tactful, and genuinely concerned; traits that make them very supportive to persons in need” (Hirsh, 1991, p. 15). Their diligence moves them ahead in such environments, as they “often move into supervisory roles” (Hirsh, 1991, p. 15). Typical career paths for these individuals include teaching and counseling.

Prior Experience

Another factor that cannot be discounted with regard to his leadership actions are his previous experiences with businesses. During one reflection, he thought back to his training in business.

I grew up in a family business where all we did, that’s all we did. We worked at my dad’s place all of us, it was a 24 hour business and it seemed like it never went away. I definitely, through that experience, have tried to not take stuff home.

In addition to his upbringing, this administrator had experienced quasi-administrative roles in previous school employment. “I had done vice principal stuff prior to this and most of that was dealing with kids and parents.” His prior experience with school

leadership certainly played a role in his ability to walk into such a different and demanding role.

Work Overload

As mentioned before, there was a previously established personal connection that this administrator had with the district before accepting the job of principal. Not only did the administrator have family in the town, but was a graduate of the school himself. This left little doubt in the sincerity of his dedication. Teacher 4 commented, "I know that coming back to the school and being the administrator here was a goal of his, and a passion, and he's made a commitment." Teacher 1 observed that "he invests his entire life in his administration." This dedication was considered to be a double-edged sword for many of the faculty.

In a positive light, the administrator's dedication to the school facilities and community was a blessing for the teachers. This was a source of both trust and confidence. Teacher 3 noted that "what this administrator was able to do is I think instill confidence that he was going to be here." Teacher 4 observed that "what happens with that is if you get in and you're a hard worker... I think people see that in you, and I think that develops a little bit of trust from that standpoint." This dedication was not only understood to be a sacrifice of the administrator, but his whole family. "He said that this is an investment of himself and his family... That he had every intention of permanency" (teacher 4). While these traits and actions were important for the trust development within the school, many of the staff were concerned that this dedication would transform into an obsession.

The duties that the administrator brought upon himself were significant. The superintendent made reference to the fact that the principal attended away games for every sport more often than not. The principal would come in on the weekends during the summer and pick up garbage. "He's laying rocks; he's got the cement mixer. In the winter, he's shoveling the snow." Teacher 4 articulated a rather telling visual image with respect to his lawn mowing obsession.

I see a man who works incredibly hard, I think too hard, I would love to see him hire out a lawn service, or get some of those yahoo kids out there.

But he wants it done. I've never seen a man mow a lawn like that. There is a way that he does things, and he just does it.

This overwhelming dedication to the facilities, teachers, and students was evident with every action. Simply put by teacher 1, "he wants everybody to be happy, and it's impossible to do that." This dedication, however, often seemed to border on compulsion. The administrator was oftentimes so intent on patrolling the halls for trash that the researcher could not keep up with him. Teachers would comment that "he needs a leash," or that "he is a slippery one." The administrator admitted during a conversation that he felt the need to be involved in every situation that involved a group of his students.

The constant obsession with the school was shown to have several effects. The effects ranged from professional, to personal, to health related. On the professional level, staff oftentimes found him too busy to concentrate on their particular request, articulated by teacher 3.

I come to him and tell him something, and he'll answer, but he won't have heard what I said... I think people take advantage of him when they know

how busy he is. So they figured out, well, if I slide this in I'll get it ok'd, because his mind is on something else.

In addition this seeming inability to concentrate, there was also concern expressed about the amount of time that he allowed for family and private life. The superintendent observed that "he's going to burn himself out...he's going to be all school, and then all of a sudden his family is going to go away. He's got to learn to make some adjustments there with balance." Teacher 3 echoed this concern. "I think to the point that it affects his family a little bit because of the amount of time it takes. His wife must be very understanding."

Lastly, the administrator had undergone some significant health effects since beginning the job. He had been to the doctor several times for high blood pressure. The researcher was present one morning when he admitted that it was above 150/90 when he woke up. On doctor's orders, he was told to stay away from caffeine, salt, and alcohol. The researcher also observed that the administrator never ate lunch; when asked about it, he replied that "I can't eat at work...It makes me sick." Stress resulting from over-commitment was certainly a factor involved with all of these problems.

Public Relations

As is the case with many private schools, the parents play a significantly larger role in curriculum, management, and social aspects of the school. In this case, the pressure from parents added to the burden of the administrator's position. "It's my responsibility to the board and to the stakeholders to meet certain expectations, and if that doesn't happen, and I think it should happen a certain way, I still think eventually I need

to make that change.” Teachers were amazed with his availability for all parental concerns, articulated by teacher 4.

He’s been such an accessible administrator that parents have his cell phone number. They call it constantly. He could be on vacation and unless he turns his phone off, it rings. And even when it’s off, he’s got messages. And the entire community could know that he is out of town and yet they are calling him and want him to drop everything.

It is safe to assume that many parents appreciated his accessibility, but also that many took advantage of his generosity as well.

A central focus of this administrator with regards to external perception is the cleanliness of the school. The researcher observed an obsessive desire to consistently walk the halls, picking up paper. This was corroborated by students and faculty alike. The superintendent even noticed the change. “When I walk into the building in terms of cleanliness, and my first impression is that you know, things look cleaned up, things look good, and it smells good.” When asked about this idiosyncrasy, the administrator replied that “I don’t want to do a school tour, and be pointing in a classroom, and have the family be looking at a bunch of crap in the hallway.” This work, however, was said to pay off. Teacher 3 commented that “I think that people really like him, I think he does a great job when kids come to look at the school, see the school, and he’s trying to sell it.” Tuition driven facilities played a large role in the nature of the administrator’s leadership actions.

There was also an expressed balance at work between the desires of the community and the needs of the school. Teacher 1 understood and appreciated this position.

He's torn by what parents want, and what the community wants, and what the school board wants, and what the supporters want, and what is best for the school. And so I think the toughest job for him is to try and balance all of those shareholders in the school.

Teachers also commented that "he's not only a principal, but he's got to find time to be a business man" (teacher 4). This dual role was seen as a benefit to the administrator from a leadership standpoint. In conversation, he argued that wearing all of these hats forced him to see things from all different angles, and use these perspectives to push toward the greater good for all involved.

There was also a significant social network within the community that this administrator had to deal with. Teachers and staff consistently referred to "the big families," and "big supporters" having an influence over the direction of the school. This was compounded by the fact the administrator was part of a rather influential and active family within the district. Teacher 4 characterized this process. "Sometimes in a small school... [the large families] have a tendency to be a greater voice than they should be, and I'm not always certain that he always turns a deaf ear to those voices." The administrator admitted to their influence on his decision making. "Sometimes outside opinion of how it was handled plays a role for me." However, he also pointed to the amount that these families were able to help others in the district through their generosity, referring to the new gymnasium and modern facilities. There was most definitely a balance kept by the administrator with respect to his influential families.

Another driving force within the school, tying into both external and internal politics, was the prevalence of athletics. The superintendent reflected on their importance to the school.

Activities are a real challenge because number one, in this town, high school activities are important. They are supported, it's important to people. There are people who send their kids here because they think they'll get an opportunity to play, they'll get an opportunity to participate.

This situation presented the administrator with many difficulties, mostly time related. Not only was he expected to be at all the games, but it also took away from his academic duties. "When he comes in Monday morning, he's not dealing with academics, he's dealing with activities." One could easily make a parallel point to his obsession with the cleanliness of the school. "He takes pride in how the school looks. And you know, that goes for athletics as well as academics." While one could argue that the private school environment alleviates some of the disciplinary, special education, and curricular burdens placed on an administrator, these burdens are certainly replaced with burdens of a different nature.

Resilience

One of the factors weighing most heavily on this novice administrator was his resiliency to many of the matters occurring within the school. Looking back on his year, problems seemed to become expected. "At this point I can predict, based on what's coming on the calendar, cheerleading tryouts, for example, I know I'm going to have issues afterward, it's just interesting." His biggest regret focused on the way he handled many of these situations.

Every situation, you know, you might have experienced it a number of times, but you have to remember that it's a different kid and it's their first time going through it; it's a different teacher, and it's their first time going through it.

In retrospect, he saw that there was a period during the year that he became distant from the inherent humanity of his position; "you almost become too resilient." He continued, "I mean in my years, nothing that a parent says to me, or nothing that a kid says to me even phases me anymore. On the surface, I mean." The ability to engage these students, parents, and faculty on their emotional level was important to the principal, and seen as the only way to be an effective administrator. "In order to be a good principal, you have to listen to it again, and you've got to take it in, and you've got to deal with it." This effort was also considered to be one of his biggest changes throughout his administration. "I've changed in the sense that I went from being too resilient to an awareness of how I handle every situation like it was the first again. I think that's fair for the people involved." The importance placed on an emotional connection with others is characteristic of his feeling cognitive style.

Collaboration

There was an evident disconnect between the way this administrator saw himself and others saw him with regard to collaboration. When reflecting on these efforts, the administrator characterized himself as becoming more collaborative. "At first I probably thought I could handle everything. Two things probably occurred from that, one probably too much stress in my life, and two, probably made some mistakes along the way." The collaboration, however, seemed to be limited to his administrative peers. "I've become

more collaborative in the sense that you used to maybe try to do every thing on your own, and now when I hit that big stuff, that's when I get my assistant principal involved."

Though he understood the strengths of staff ownership in the decision making process, there was little specific evidence that this occurred on a regular basis.

There was, however, a perception on the part of the staff that he tended to be controlling in his management of the school. All interviewed staff members noted this as a source of frustration, articulated by teacher 3. "The one thing that I think he needs to learn to do better; he needs to learn to delegate things. He tries to do everything himself." Other comments reflected that he was "carrying everything on his shoulders," or that they would like to see him "empower others." The reasons cited for this control were both ultimate responsibility of the decisions, and care for the staff. "Either he'd prefer to do it himself, to know that it got done, or he didn't want to put that burden on somebody else" (teacher 3). Nonetheless, this was a point of significant disparity among the staff and administrator.

One specific example of the frustration of the staff with regard to collaboration was the change in faculty meeting schedules. The former administration had instituted weekly faculty meetings which faculty were required to attend. These meetings were characteristically open forum. Teacher 4 noted, "the style of our faculty meetings was sometimes a little bit loose, and even sometimes they could be viewed as slightly negative to an outsider, but still in all we did have a voice." When this administrator stepped into the position, he severely cut back on the number of faculty meetings. The administrator stated that "I've told these guys, I'm not going to waste your time. If I don't have things to meet for, we won't meet. That's something that they've appreciated."

What meetings they did have changed significantly in structure. Teacher 4 commented that “we walk in, and we are given an agenda, and the agenda is mostly like a memo. This is when this will happen; this is when this will happen. We do not talk.” Given the explosive history of the administration, the principal saw this structure as a necessary step for the staff. However, some expressed concern that they were not getting a voice. Teacher 1 noted that “my sense is that he steers away from any kind of confrontation, anything that would be negative, not realizing that two negatives make a positive.”

Furthermore, there was concern expressed about how this would affect the social networks within the school. “In the absence of the faculty meetings in this library with him present, the meetings are going on all the time in the faculty room, on the phone, etc.” (teacher 4). The administrator, however, referred to the needs of his younger staff. He argued that many of them had kids in daycare with both parents working full time. Loosening up their schedule spoke of respect and care. The balance between social groups within the school, and learning to appease one without alienating another was understood to be a difficult, if not impossible task.

Another source of disparity with regard to collaboration involved the consistency with which the administrator dealt with student discipline and staff mandates. Teacher 4 immediately characterized his leadership style as fluid. “Extremely fluid; meaning that on one day there is a mandate, and then on the other day, that mandate is ignored, and then what has been ignored then becomes the assumed policy.” This inconsistency deteriorated the trust levels of some staff members. She continued,

It becomes very critical that the leader adhere to that, and that does not always happen...what I see is that you said it, you didn't mean it. You wrote it, and then you're breaking the rule. And it happens all the time.

Inconsistencies in both staff delegation and student discipline were acknowledged by the administrator. The frustration was also noted; "I don't kiss and tell. What goes on here, personnel things, stay in here. I think that may cause a little bit of a frustration."

Furthermore, the administrator often referred to the subjective nature of what should be done in every situation. "What you think should have been done maybe wasn't done, but you don't know what the process is, you don't know how many meetings, how many phone calls went into this." Again, what were perceived by the staff as inconsistencies may have only been a reflection of the administrator's greater perspective of the issue. However, perceptions carry as much weight as the truth in a school environment.

Advocacy for the Staff

The administrator was adamant, however, that he was always a staunch supporter of the staff in every situation, including student discipline. While teachers expressed frustration about the way many things were handled, the administrator responded that "I'm not going to get into details, but I'm also going to tell you that I'm not sitting behind this closed door making deals with high school kids, or not supporting you as a staff." The principal rationalized this clearly. "The truth is that I have to live with my seniors for six more weeks; the staff I have to live with for as long as I choose to do this. It's not worth it." Staff perceptions of this advocacy were mixed. When asked, teacher 1 responded favorably "he backs his staff 100%. I trust him to be able to do that. If he thinks that a person, a staff member, is wrong, he will not cut their legs out from under

them in front of someone.” Others, however, were not as supportive. When asked whether the administrator was an advocate, teacher 4 responded briefly. “No. I do not.” Perhaps the inconsistencies in interpretation were a result of inconsistent action. Another interpretation, however, would be that these inconsistent teacher perceptions were characteristic of inconsistent perspectives.

Money vs. Mission

As with many other private schools, there were dual forces of money and mission competing for center stage. The principal commented on this. “There are people who flat out only want people like themselves here, people living in the same area, driving certain things, but like I told you, I wouldn’t be here if that was the case.” The elitist school push was a significant one, and greatly influenced curricular decisions within the school. “When people are talking about that college prep, and that environment, they are referring more to an elitist school” (teacher 1). Money was certainly a driving force in the provision of certain curricular avenues.

Elitist parents were characterized as very influential both inside and outside the walls of the school. “Their voice is very great, those parents are...your elitist parents are the ones who are paying full dollar” (teacher 4). This was also the group that the school was forced to cater to for finances. The superintendent agreed, “you have to look at the socioeconomic piece; whether you like it or not, the people that can afford to send their kids are the ones that are going to his school.” Secondly, the elitist perception drove many of the recruitment efforts within the school. The superintendent commented that “we fight this elitist piece a lot, we don’t want it to be an elitist system, but gee whiz, it’s hard to recruit kids whose parents can’t afford it.” Recruitment discussions often reverted

back to the quality of the public schools in the area. “In order for people to come we have to provide an academic program that is rigorous and challenging as what you’re going to get in the public school.”

Realistic, pragmatic action drove many of the decisions that the administrator was forced to make on a regular basis, but his vision remained set on the dual roles of diversity and excellence. The principal argued that “in my mind, you can create a curriculum where you can still hit those top level kids, but academic excellence doesn’t have to be 4.0.” He also reflected on the feeling of success in helping a child develop to his/her personal ability.

You can take a kid who’s got straight D’s all his life, teach him study skills, and have that kid go from D’s to B’s, that might be more of a win than the kid who’s had straight A’s all his life and maintained it.

The provision of an academically and socially diverse environment was also a personal cause for the administrator. “I want to make sure that, you know, I have nieces in third or fourth grade, and I’d hate to be principal here and create an environment that you can’t let them come through.” Furthermore, teacher 4 brought up the fact that “he has said to the kids I look at my transcript, and he graduated with like a 2.7, and he said I’m living proof that you don’t have to get the best grades [to be successful].” The strength of his vision of diversity for the school was applauded by some and criticized by others.

However, there was no lack of clarity in his expression of it.

Urgent/ Important

A feeling of urgency drove many of this administrator’s actions on a daily basis. Reflecting on this, he noted “you’re almost a salesman; you’re just trying to put out fires,

or taking bullets for some of your teachers.” The superintendent agreed with this characterization. “I think realistically I think you get caught up in all the little day to day things that interrupt your pursuit of that vision.” The urgency of the position was also attributed to the high school environment.

I think in the bigger vision, you’d like to have a nice academic piece and you’d like to have the very best, but quite honestly when the cheerleader moms come in and bitch, or the prom queen’s mom, or the prom candidates aren’t the right ones, or who counted the votes. You know, I think at the high school you just get broadsided with those kinds of issues.

This urgent posture was also influenced by the unpredictability of his workdays. “There are times when I think he can be knee-jerk, but he is human, and his day is never the same. So he is hit with stuff that he has to shoot from the hip all the time.” Ultimately with regard to the pursuit of a greater organizational vision, there seemed to be an expression of sadness on both the part of the administrator and staff. Comments such as “I think he would like to see the big picture, but I think those clouds come in everyday and sort of distort that view” (superintendent), and “for him the job has become so day to day that I wonder if he even remembers what that vision was” (teacher 4), were evocative of an awareness of what should happen, and an inability to achieve these lofty goals.

Social Systems

With regard to his conception of social systems, this administrator was working hard to deal with the past. This was in his opinion, a necessary step, but also frustrating to the faculty.

The one thing that frustrates our staff a little bit is that prior to me being here, especially some of the ones that have been here for a while, they had way more knowledge of what was going on, way more rumor mill, way more got out of this office.

This administrator's hushed attitude about student and faculty discipline had severe repercussions in the beginning. He reflected on the story.

I had a teacher who took an opportunity, pretty much insubordination, took an opportunity to write a letter about me anonymously and put it in everybody's boxes. Well, I figure out who it is and bring him in the office. His big gripe was that we never know how you handle anything, kids come in here and nothing is done. I said how do you know nothing is done? Well, I said what you think should have been done maybe wasn't done, but you don't know what the process is, you don't know how many phone calls were made, you don't know if counselors were involved, and quite honestly when it's student related, a lot of people don't see how it's handled... So I turned it back on him. I said you know, everybody knows that you wrote this letter, small staff, so people have given me opinions on what I should do to you. But we had a good talk and I ended it... The point was no days off, none of that, I said when you walk out of here, people are going to be saying the same things about you. Only you and I know how it was handled. So that's how it is with a lot of kids. Only you and I know how it's handled. So that causes stress for me because I hate to hear, oh, you didn't do it right, or you didn't handle it right. So my

opinion with the staff, even with personnel issues, is straight. They don't know the details, they expect certain things, but they don't know how it was handled.

The establishment of a line between personal and professional interactions was a source of frustration for many of the teachers within the building. However, according to the administrator's perception of the social systems within the building before he arrived, this was a necessity, and the lesser of two evils.

Change

The change process within the school could best be described as managerial in nature. While there were changes in scheduling, faculty meetings, and other such topical concerns, there was little development with regard to overall school issues. Obviously, part of this could be attributed to the tumultuous atmosphere that existed previously. "He came in at a time when we had had a great deal of turmoil, and the first year he really maintained the positive aspects of the status quo" (teacher 2). The maintenance of this culture also aided in the healing process that many of the staff had to undergo before embarking on a new organizational mission. However, another factor at work brought out in a teacher interview, added some perspective on his acceptance of stability. "I think that in some respects, though, having attended this school, all of his siblings attended this school, that there is a tendency to maintain certain things about the school that probably could be changed" (teacher 4). Having been through the system as a student, the administrator embraced the vision of the school from fifteen years ago. This was positive in its establishment of a certain comfort level among the staff, but dangerous in the perspective of planning for a new decade of change and obstacles.

Use of Theory

When considering the reflective use of theory in his leadership actions, this administrator candidly admitted that it certainly wasn't his first priority. "As far as developing leadership models and stuff like that, I just think, leadership is kind of one of those things you've got or you don't." However, this response was qualified by his experience. "Now I've done so many of those things, so I've seen the kid who's screwing off in classes, the teacher who's mad about something. I just know how to handle that stuff." As far as the presence of theory in his actions, he was confident that it occurred. "I think that in the day to day stuff, I know it's being used, but I'm probably not aware, or cognizant of it." This was partially due to the exhausting schedule of the summer master's schedule. "I really don't remember much of the coursework." The separation of the coursework from his daily leadership actions made these two worlds somewhat irreconcilable.

One practice that was described as both helpful and utilized was that of situational rehearsal. "I think that before you sit down and have those meetings with those parents, you need to sit down and think about how you are going to approach it." The administrator saw this process as the most helpful when anticipating an interaction.

Instructional Leadership

As a result of the turbulence within the school leadership in previous years, there had been little done with regard to instructional leadership within the school. Upon taking the position, the administrator made an immediate effort to resolve this situation. "Last year the assistant principal and I made a commitment to hit every classroom with what we call a full evaluation." This document was eight pages long, and took into

consideration classroom environment, management, instructional methods, all the way to personal growth and fulfillment. The administrator also utilized a pre-conference, observation, and post conference so as to articulate the purpose and goals of the process to all faculty members. While the principal was skeptical about its utility, "it had to be done for us from an HR perspective." Subsequently, the principal had begun to focus primarily on teachers with less than three years experience for full evaluations.

Time constraints were still presented as an issue, much to the despondence of the administrator.

When you talk about being a principal, you're first thought is that you're going to be so involved in instructional leadership, and you're going to be Mr. in the classroom, and help the teachers teach and the reality of it is basically because of time constraints, it is probably the least of your job.

The inability to devote a requisite amount of time was considered to be one of the administrator's greatest priorities for the next school year.

The experience of his teaching staff became both a help and a hindrance in his instructional leadership efforts. The staff had an average of 13.3 years experience, 48% having advanced degrees in their respective fields. In addition, 3 teachers possessed Ph.D.'s in their respective fields. The experience of the staff played a positive role in that he could utilize his time to focus on his younger teachers, as the more experienced staff acted relatively self-sufficiently. However, this experience became a burden when trying to institute curricular changes. These teachers were often resistant to curricular or classroom changes. "Sometimes you may have some ideas, but people that have been in a classroom for 15-20 years aren't going to listen to you." At times, this independence

could transform into resentment. The superintendent mused that “Here comes a young kid, not that he’s young, but probably in his 30’s, coming in to tell me that’s 45 or so, and I’ve been here for 15 years, and I’ve got a doctorate, and you’re going to tell me what to do and how to teach?” Formal instructional leadership was certainly a source of frustration for the administrator. Time constraints and a more experienced faculty often compounded these frustrations, but the administrator was optimistic that he could play a larger instructional role with respect to his younger faculty.

The administrator also noted that he found the informal evaluation process valuable because of its efficiency. He characterized this process as “Sometimes it’s just looking in, sometimes you sit in the back of the room, and then a follow it up in a conversation with the teacher.” He also noted that these observations could focus on a single aspect of the class. “For the seven minutes that I was in your room, you didn’t call on a single guy.” Regardless of the specific structure of the evaluation, the administrator was adamant about the amount of information one could pick up from even quickly passing by a classroom. “It’s amazing the things you pick up being in the room quickly.” He also referred to the attitude and engagement of the students, the planning patterns of the teachers, and the overall impression made.

Despite his preference for informal evaluation patterns, the administrator understood the necessity of documentation. “You’d be a fool to not have that paperwork, because someday you’re going to have to deal with it.” Furthermore, he mentioned the skill that was required to council a teacher out of the system without offense or legal ramifications.

It's amazing, there are some people who have just got it in the classroom, and there are some that just don't. And you can work with them, but there's always that one or two teachers that you can talk to until you're blue in the face. There just not very good at it. And at some point you're going to have to tell them that, and you better have your ducks in a row before you do it.

The importance of documentation when certain situations arose was part of the "paranoid" interest that he had in the master's preparation curriculum. These were stated as practices that he would never forget.

The last role that the administrator described with regards to his efforts in instructional leadership was that of providing professional development options. This was seen as an exercise in leading the staff where you think they should be going. "You manipulate it enough to get across what you want in a professional setting, and then there are speakers that do that." So while the more experienced staff may not feel inspired to listen to the novice administrator, he used what avenues were open to him to have an influence as an instructional leader.

Transactional Leadership

Transactional leadership occurred in varying forms, and with varying amounts of reflection on the part of the administrator. He first noted that "we really don't have the ability to do any financial stuff," but referred to an annual holiday party as a type of transaction. It'd be no different than if we had, you know, businesses give a Christmas bonus, and it's kind of something like that." This transaction, however, had the benefit of developing the community and personal interactions among the staff and administration.

This administrator also observed that he was very generous with his personal favors to the staff. "I'm a pretty helpful person, and I have a tremendous amount of resources around town just with our business that I'm involved in. So I always offer those to people." He further referred to working on an employee's car and helping an older staff member with his landscaping. However, he was insistent that this was not done with the expectation of payback. "I didn't see that as in return for them behaving a certain way. I think it's just more of building that relationship."

The privacy of this particular school made its salary benefits less than that of the local public school. The administrator was confident that their pay scales were at least 80% of equivalently sized public schools, but a bit less than their direct local public competition. As a result, the administration was left with the charge of motivating the staff through more intrinsic means. The principal reflected that "I think when we had tremendous turnover it was just because it was a job, and I noticed that when I got here." Oftentimes, the presence of care among the staff made the lack of salary manageable.

I have tried to work on that here. You show up, it's a fun place to work.

We do some fun things with the staff I try to go around and visit their rooms and make them see that we care about them, and make it more of a family atmosphere.

In most cases, the staff responded to these attempts positively. However, when asked about their primary motivation to staying the district, all replied that the primary reason was the students.

Transformational Leadership

Transformational behavior was evidenced primarily through this care for the personal development of the staff. Though not always reflective in nature, the administrator looked to better the lives of his students and staff through the promotion of morality, personal growth, and the provision of visionary leadership.

When asked about the personal development of his staff, the administrator responded that this was a significant consideration in his leadership actions. First, he focused on a development activity that they had engaged in as a staff. "This year, one of our PIR activities was not academic in nature. It was more a mental health component, dealing with stress." This activity was chosen to provide the staff with the tools to handle personal as well as professional problems. Secondly, the administrator cited the importance of the new weight room as a way to invigorate personal development among the staff.

I think it's huge for them to not have to spend \$40 a month; that they'd have the ability to come down here and run on a treadmill, do some weights, or whatever. Exercise during their prep period. And I have made that accommodation if they would like to do that.

Though the researcher did not observe any staff members taking advantage of this opportunity, the focus on the personal development of the staff was evident through these actions.

Personal relationships were another area of focus for the administrator.

Understanding what was happening in the personal lives of his staff was held in high regard. "I have tried to make these people feel for sure and I hope they know that I care

about them.” This interest was also evocative of a certain pride in their professional achievements.

I have really good teachers, and I think they are all professional people, and they are happy and they know that I’ll support them, and they know that we care about them and those things, and I think the byproduct of that is that they’re going to do their job well.

This personal care was appreciated and noticed by the staff, articulated by teacher 3. “If there is some emergency or whatever, he’s very understanding and very supportive.” As the administrator noted, the byproduct of this caring environment was a renewed focus and care for the students.

With regard to his provision of visionary leadership, there were somewhat conflicting perspectives. When asked about his vision for the school, one teacher made mention of the distrust that many faculty members were still carrying from their previous administration, articulated by teacher 2.

I’m not quite sure that he has a vision. He hasn’t shared at faculty meetings, or let anyone else share as well. I think there are trust issues there. I think that’s what it is. And that will come when he gets older, you know, more time, and I’m hoping that will come. I may not be here, but I’m hoping that will come.

All staff members agreed, however, that this administrator provided a vision by setting an example. “He’s a role model as far as leadership goes. He doesn’t ask anything of us that he’s not willing to do himself” (teacher 3). Perhaps more expressively, teacher 3 reflected on the impact of his actions for her.

Education in terms of books is very important, but so is how to be a good citizen, and he does a fantastic job as far as how a good citizen should be, and I think kids, I hope kids, and adults alike because I've noticed it, that they pick up on that.

In a completely unrelated conversation, the administrator echoed similar sentiments about his vision for the school. "When I know that that part of the school is working, it has nothing to do with academics, it's how kids are treating each other, it's watching the lunchroom and making sure kids are not eating alone." While the expression and clarification of this vision was sometimes lacking, the researcher understood from his actions that leadership was a personal endeavor for this administrator.

Cross-Case Analysis

Well defined themes emerged with regard to the administrators' use of theory in their leadership actions. Themes first revolved around similarities in contextual positions. Specifically, these administrators dealt with similar issues such as previous administrative turnover, faculty experience, budget, leadership experience, overload, and cognitive style. The conception of social systems also played a role in the context of the position. These themes developed with respect to age, trust development, participation, placement, service, group dynamics, and control.

All three administrators also understood and applied the theoretical models of instructional leadership, transactional leadership, and transformational leadership. With respect to transactional leadership, themes of personal favors, and the interconnectedness of professional and personal gestures emerged. With respect to instructional leadership, themes of assuming a role of support, preference to informality, concern for staff development, and regret of not playing a larger role emerged. Lastly, with respect to transformational leadership, themes of lack of time to develop a vision and credence in developing personal relationships emerged. Among these three cases, specific approaches to the themes were different in nature, but structurally consistent.

The following section will outline the specific reflective approaches that these administrators took with regard to their theoretical preparation, expressed in their own words. It is important to note that all themes did not appear in all cases. The researcher articulated the themes occurring in two of three cases in order maintain the "local web of causality," and avoid "a smoothed down set of generalizations that may not apply to any specific case in the set—let alone others" (Miles & Huberman, 1994, p. 172).

Table 5: Cross Case Thematic Development

	Contextual Factors	Social Systems	Instructional Leadership	Transactional Leadership	Transformational Leadership
Case 1	<ul style="list-style-type: none"> • Faculty Experience • Budget • Cognitive Style 	<ul style="list-style-type: none"> • Age • Trust • Development • Participation • Placement • Service • Group Dynamics 	<ul style="list-style-type: none"> • Role of Support • Informality • Concern for Development 	<ul style="list-style-type: none"> • Personal Favors • Interconnectedness 	<ul style="list-style-type: none"> • Time to Develop a Vision • Development of Personal Relationships
Case 2	<ul style="list-style-type: none"> • Administrative Turnover • Faculty Experience • Budget • Leadership Experience • Overload • Cognitive Style 	<ul style="list-style-type: none"> • Age • Trust • Development • Participation • Placement • Group Dynamics • Service • Control 	<ul style="list-style-type: none"> • Role of Support • Informality • Concern for Development • Regret 	<ul style="list-style-type: none"> • Personal Favors • Interconnectedness 	<ul style="list-style-type: none"> • Time to Develop a Vision • Development of Personal Relationships
Case 3	<ul style="list-style-type: none"> • Administrative Turnover • Faculty Experience • Budget • Leadership Experience • Overload • Cognitive Style 	<ul style="list-style-type: none"> • Age • Trust • Development • Participation • Placement • Group Dynamics • Service • Control 	<ul style="list-style-type: none"> • Role of Support • Informality • Regret 	<ul style="list-style-type: none"> • Personal Favors • Interconnectedness 	<ul style="list-style-type: none"> • Time to Develop a Vision • Development of Personal Relationships

Contextual Factors

Administrative Turnover

Administrative turnover played an important role in the novice administrators' ability to lead effectively. More often than not, the previous administrator had left in less than perfect conditions, leaving an emotional handprint on the school. For example, Case 3 observed that the former administrator had been dragged out of the school with handcuffs after an altercation. This was followed by a complete restructuring of the administrative framework. Upon accepting the position, the new administrator was faced with the challenge of rebuilding staff camaraderie, and developing trust between the administration and staff.

Likewise, Case 2 presented the novice administrator with broken bonds of trust among the staff due to budgetary cuts in the preceding years. Teachers were expected to teach 7 out of 8 periods, which amounted to an hour and a half of prep every other day. In addition, budget constraints forced the administration to freeze teachers' salaries for two years in a row, and cut back spending on any superfluous program. This greatly affected the number of FTE hours the staff received, breeding the already damaged trust patterns, and setting the stage for the entrance of the novice administrator.

Faculty Experience

Another consistent theme throughout all three cases was the extent of faculty experience. This manifested itself in both the amount of credence given to administrative direction as well as the relative independence of the staff.

Faculty experience in Case 3 was shown to be an influential factor in the novice administrator's ability to assume a leadership role within the school. Former teachers

were characterized as resentful of authority, and shown to actively buck the authority of the novice administrator. One staff member took it upon himself to write an anonymous letter to the staff, complaining about the lack of expressed student discipline at the administrative level. The presence of these negative voices severely impacted the actions of the novice administrator in the beginning of his tenure.

Faculty experience in Case 2 was shown to have promoted an independence of the staff. Having had 9-10 principals in the previous 24 years, and 7 in the last fourteen years, the staff was used to changes within the administration. As a result, they had developed the ability to operate relatively independently of administrative consistency. While this independence relieved many of the managerial duties of his position, it was shown to considerably affect the novice administrator's ability to lead the school in any kind of change process.

Case 1 presented the administrator with a faculty who was skeptical of his ability to handle the job. "They were not happy having someone, you know, some young whippersnapper, I actually heard those words... he met with a lot of trouble in the beginning." This immediately placed the novice administrator in a context of insecurity.

Budget

The dichotomous roles of budgetary concerns and student diversity also played a role in the context of each case. Budgetary concerns placed a considerable weight against the ability for the school to provide a socially and academically diverse student body. Case 1 articulated that "you have to take into consideration that this school's doors will not stay open unless we have certain clientele that can pay." Case 3 faced pressures of a similar nature. "We fight this elitist piece a lot, we don't want it to be an elitist system,

but gee whiz, it's hard to recruit kids whose parents can't afford it." In Case 2, this focus on budgetary matters brought about discussions on the cyclical nature of the elitist perspective within private schools, whereby elite students promote a better academic reputation, bringing in more money, allowing the school to recruit more elite students.

All three schools dealt with these internal and external forces. As a consequence, all were forced to deeply consider what their vision was for a successful student.

Cognitive Style

Though similarities in cognitive style were not observed between all cases, consistency remained with regard to the influence of the administrator's cognitive style on their specific context. For example, the attributes of thinking and judging influenced the administrator in Case 1 when considering problem solving techniques. "Just try to be yourself...analyze everything that you can and make the best decision possible." Case 2 reflected his propensity to "like harmony and work to make it happen" though his calming influence on the staff and emotional control. Similarly, Case 3 depicted an administrator that needed very much to stay in touch with the emotional demands of his position. This desire was characteristic with his profile which stressed a predisposition toward sensing and feeling in the decision making process.

Overload

Another contextual factor at work for the novice administrators was the presence of work overload. Case 3 observed an administrator who was "laying rocks; he's got the cement mixer. In the winter, he's shoveling snow." This constant stressing from professional demands had begun to severely impact his health, requiring his physician to change the administrator's eating habits. His dedication to the school had begun to worry

his colleagues. "He's going to be all school, and then all of a sudden his family is going to go away."

Likewise, Case 2 presented an administrator that could often be found at away games, or driving the bus for activities clubs. Prior to observation, the administrator's superintendent commented that "it would not surprise me one bit that he's underneath the bus changing oil one day." While the overload was oftentimes evocative of an organizational commitment, the burdens of the position were without question affecting the leadership abilities and actions of the novice administrator.

Leadership Experience

Previous leadership experience played a significant role in the actions of novice administrators. For example, Case 2 entered the position after a tenure working with the US Forest Service. His previous experiences with chaotic situations influenced his school-based leadership actions in a variety of ways including keeping calm under pressure and the display of emotional control. Case 3 presented an administrator who "grew up in a family business where that's all we did." These experiences influenced his current actions in the oftentimes business-like atmosphere of private education. These experiences were also said to help the administrator cope with the seemingly never ending tasks of his position.

Social Systems

Age

All three cases also represented younger administrators. Ranging from 32 to 35, these gentlemen were forced to contend with many previously held conceptions about the role of age and its equivalence to authority. For example, Case 2 articulated the tendency

for younger individuals to respect the authority that comes with age. "It's your parents, teachers, coaches, and they are in a position of power and now the tables are turned and he is the leader for people who have children his age." This administrator was shown to be torn between the social power of the more experienced staff and his bureaucratic power as the organizational leader.

The age of administrators was also exploited by the staff. Case 3 presented an administrator that had to deal with outright insubordination from more experienced staff members. Furthermore, the superintendent had expressed his empathy for the social fragmentation between the principals more experienced staff. Lastly, Case 1 presented the reader with a description of the benefits of youth as articulated by the superintendent. "Not that I'm prejudiced against older administrators, but he hasn't been, his ways have not been established. So he's establishing his ways in the context of the mission of the school." In this case, youth was on one hand praised, and on the other hand doubted.

These three perspectives give depth to an otherwise two dimensional conception of the role of age in the leadership actions of a novice administrator.

Trust Development

The three cases also presented the novice administrator in a position of developing trust among the faculty. The establishment of communication patterns and proven dependability revealed itself as a primary concern. For example, Case 1 displayed the sentiment that "I really want them to be able to know that they can depend on the office, and the administration in personal matters. I think that builds teamwork, and, you know what I mean, I think it's a personal thing." This concern was reflected as both a personal and professional goal. Similarly, Case 3 articulated his desire for the staff to

know that he cared about them, despite their resentment of the previous administration and internal conflict.

Case 2 presented the development of trusting relationships as an exercise in administrative efficiency, but cautioned against its assumption. "One on one stuff, group stuff, the more they trust me the more they trust me to make the right decisions. And a lot of people don't want to be bothered with the more mundane, tedious decisions. Some of them can't believe that I wouldn't bring it up to them." Rather than a mere step in the priority list of new administrator, trust development was shown to be an ongoing and reflective process.

Participation

The three cases all exhibited the challenge of coming to terms with their role as participatory leaders. Case 1 espoused the desire to be participatory in any school-wide decision, but also revealed the tendency to put things in motion before running it by all interested parties. This was evidenced through both his plans for the establishment of a school theme and a resource room.

Case 2 reflected the importance of participation with regard to credibility. "I'll do that with some things, more so now than previously, because I think my credibility is more there with the staff, and they trust me with decisions." Earlier in his tenure, the administrator noted the need to run every decision by the staff, but as he grew more comfortable with the position, and the staff has grown more comfortable with him, these issues could be dealt with directly.

Case 3 presented an administrator with a more controlling leadership style. Though he has noted the increase in his participation, staff insisted that there was still

work to be done. “The one thing that I think he needs to learn to do better; he needs to learn to delegate things. He tries to do everything himself.” This delegation was also characterized by staff as an act of empowering the teachers that needed to occur before institutional change was possible.

Service

All three cases also displayed themes of service-oriented leadership. The novice administrators all made a reflective attempt to serve the organization through the completion of tasks that were above and beyond the administrative job description. For example, Case 1 submitted that “I’ve truly tried to be not looked at as an administrator, and just part of the process in the school.” This administrator continued, “I think you need to be a helper. I think you need to be an assistant.”

The other two cases displayed aspects of service leadership by actually taking on many of the tasks thought undesirable to the staff. The superintendent in Case 2 remarked that “It would not surprise me one bit that he’s underneath the bus changing oil one day while, I mean it’s just the kind of guy he is and somebody’s got to do it. He’s getting it done.” Staff members in Case 3 reflected the same attitude toward their administrator. “He’s laying rocks; he’s got the cement mixer. In the winter, he’s shoveling the snow.” These actions exhibit the tendency for novice administrators to engage themselves in leadership through service to others.

Placement

Consistency also emerged with regard to the way in which the administrator was placed in the position. This was evidenced in the fact that the mere acceptance of the position brought about respect for the novice administrator. Specifically in Cases 2 and 3,

the willingness to assume the position of leadership was met with gracious and thankful attitudes from the staff.

The process of internal placement also made an impact on the social relationships within the building. Case 2, for example, noted the importance of “being able to be here and go through it with the staff at that time as that side of it, and I understood it, and I understood what not to do.” Case 1 very similarly reflected that he had sat in the faculty room for years and listened to the complaints and issues of the teachers. This internal perspective greatly influenced his resulting administrative actions.

Lastly, the amount of staff input with regard to the hiring of the novice administrator played a large role in their leadership behavior. Cases 1 and 3, for example, demonstrated that the lack of staff contribution to the decision making process, and its impact on the initial perception of his leadership.

Control

The theme of control was evident in both Case 2 and Case 3, and both involved the delegation of activities duties. With regard to Case 3, there was an evident drawback of responsibility from the athletic director as the administrator took the position. While he left all scheduling and bussing arrangements to the athletic director, this administrator retained decision-making authority on personnel matters. Likewise, the administrator in Case 2 noted that “I’m reluctant to let go until she can show me a time or two that she can deal with situations.” This decision was made on the basis that “what I don’t want to do is set them up to be in a position where they get hung out to dry.”

Group Dynamics

Knowledge of group dynamics also played a role with respect to the understanding of social systems within the school. Case 2 reflected this with his comment that “It’s real easy to see the weakness, the spot in the structure.” Case 1 reflected this understanding through his description of the critical mass that was necessary to push an organizational decision forward.

Lastly, Case 3 displayed the understanding that negativity would be part of any organization. He articulated the solution was to understand and accept this, rather than looking to please everyone in the organization.

Though they utilized it in different ways, each administrator reflected on these theoretically-based constructs as they were put into action.

Instructional Leadership

Role of Support

With regard to the processes of instructional leadership in all three cases, there was an assumed role of support for the older and more experienced staff members. Case 1 portrayed his instructional leadership style as “one of I am going to allow my teachers to teach... I don’t need to be the type of guy that dictates their classroom, or dictates their curriculum. And I shouldn’t, because they are professionals.” Likewise, Case 2 noted the role of support as that of a motivational force. “I trust their professionalism, and I think that is a huge motivator for a lot of people that I actually have trust in their professional abilities.” The professionalism and longevity of the staff played a very influential role with respect to the instructional leadership actions of each administrator.

Lastly, there was a consistent expression that the administrators were oftentimes not in control of the instructional practices of their more experienced faculty. This was specifically reflected in Case 3. "Sometimes you may have some ideas, but people that have been in a classroom for 15-20 years aren't going to listen to you." Supervising mature and experienced staff on an instructional level was a practice that none of the administrators were very forceful with.

Informality

All three novice administrators also made use of, and preferred, informal observation techniques for their staff. Case 3 articulated the lack of validity in many formal observations. "It becomes a dog and pony show; of course you're going to put your best foot forward when your administrator is in the room, especially when it's a planned time."

Case 2 articulated the many sources of information that could be used in the informal evaluation process. "Talking and listening to parents. Talking to kids and listening to kids." This administrator also conveyed his offer to the teachers to watch one thing throughout the year, whether it be staff or student interaction, persona, or teaching style. This was in an effort to promote a more broadly-based platform for evaluation. Case 1 reflected this concern through his utilization of parental and staff evaluation forms for teachers.

Concern for Development

Concern for teacher development was also a shared concern for the novice administrators. Case 2 shared his conception of the growth process of the staff. "Many of

them are in different phases in not only their personal lives, but professional lives, their educational lives, everything about it.”

Case 1 portrayed a more grounded approach, directly referencing theoretical constructs and authors. Specifically noting Kohlberg, Piaget, and Erickson, the administrator postulated that “I’m trying to apply human cognitive abilities and where people are at different levels of morality...those things have definitely an impact on how I relate.”

Regret

Unfortunately, another consistent theme with regard to instructional leadership was the presence of regret that more time was not spent on this aspect of the position. Case 2 related the time constraints to other managerial duties. “That’s hard to do when you’ve got a softball game to plan, a basketball gym to get ready.” Case 3 understood this as both regret, and a long-term goal. “Your first thought is that you’re going to be so involved in instructional leadership...the reality of it is basically because of time constraints, it is probably the least of your job.”

Transactional Leadership

Personal Favors

All three cases also engaged in the process of doing personal favors for the staff, though this was not considered to be in an exchange for any kind of reward. Cases 1 and 2 specifically mentioned activities such as taking over classes at times, filling in for a late teacher, working on an employee’s car, helping older staff members with landscaping, and helping with classroom setup. Additionally, Case 3 articulated that “I’m a pretty

helpful person, and I have a tremendous amount of resources around town just with our business that I'm involved in. So I always offer those to people.”

Interconnectedness

All three cases also expressed the interconnectedness between personal and professional transactions. This was perhaps best expressed in Case 1. “You can't separate the personal from the professional. If something is being asked on a professional level, there's also a personal transaction that's constantly behind it.” Case 3 showed evidence of this perspective when noting the personal benefits of his provision of social events for the staff. Case 2 noted the holistic change in the organization that occurred from his transactional efforts. All three administrators engaged in this process, and saw as its benefit the development of community and personal interactions among the staff and administration.

Transformational Leadership

Development of Personal Relationships

The attempt to develop personal relationships was evident in all three cases as a vehicle for the growth into transformational leadership. Personal relationships were first brought up with their respect to the power they have for organizational growth. For example the administrator in Case 1 articulated that this was important “because I know the power it has in building a personal relationship and trust with you. I'm not afraid of that.” Secondly, personal relationships and the presence of care were demonstrated as a high level of priority for novice administrators. Case 3 conveyed that “I have tried to make these people feel for sure and I hope they know that I care about them.” A reciprocal respect and engagement in personal connection and development was

conceptualized as a necessary first step in the process of transformational leadership.

Case 2 articulated these sentiments through his “genuine interest in every single thing a person has going, and I care about every single one of them both personally and professionally.” All three administrators understood the power of personal relationships as critical to the health of an organization.

Time to Develop a Vision

While the reflective process of transformational leadership was expressed by all three administrators, there was consistent evidence that the development of an organizational vision was a process which required more time in the building. This was due both to the managerial aspects of the position and a deeper connection with the staff. With regard to the managerial aspects of the position, Case 1 articulated that “I try never to lose sight of the big picture and where I’m going, but in between I know that whatever comes through that door, I’m going to have to deal with.” The respective superintendent echoed these sentiments. “You can’t reflect while you’re still trying to figure out how to swim.”

Secondly, faculty members noted an absence of connection and lack of expression of vision with the staff on the part of the administrator. The question was asked during Case 1, “how could you judge whether someone was reflective or not, unless they shared their vision with you?” Case 3 also demonstrated this difficulty. “I’m not quite sure that he has a vision. He hasn’t shared at faculty meetings, or let anyone else share as well.” Likewise, the staff in Case 2 referenced their administrator’s strengths as with issues, rather than vision. Perhaps this could best be thought of as a mutual growth process

between the leader and staff. In the words of a staff member in Case 3, “that will come when he gets older, you know, more time, and I’m hoping that will come.”

Chapter 4 Summary

The process of transformation for a novice administrator is one filled with perceptual changes, and influenced by a variety of contextual and theoretical forces. Many important thematic elements arose as the data was analyzed. With regard to contextual factors, all three cases exhibited similarities in previous administrative turnover, faculty experience, and budgetary concerns. With regard to the utilization of leadership theory in practical leadership action, all three cases exhibited the reflective application of instructional, transactional, and transformational leadership, as well as an understanding of the social systems that influenced the application of all three models. Similarities in the utilization of instructional leadership involved assuming a role of support, preference to informal observations, and regret of not playing a larger role. With regard to transactional leadership, themes of personal favors, and the interconnectedness of professional and personal gestures emerged. With respect to transformational leadership, themes of lack of time to develop a vision and credence in developing personal relationships emerged. Lastly, when considering the social context of these actions, similarities emerged with respect to age, trust development, participation of staff in decision making, and placement.

Chapter 5

Conclusions and Recommendations

Introduction

This research began by introducing one overarching central question, followed by several sub questions. It was important that these questions were non-directional, stated the purpose of the study in more specific terms, and used words such as “what” or “how,” rather than “why” (Creswell, 1998). The sub questions, taken in their entirety, attempted to address the central question more fully. This chapter addresses the central question of the study: How do novice administrators recognize and utilize leadership theory in their daily practice? In addition, this chapter addresses the four sub-questions of the study:

1. What contextual pressures are associated with the recognition and utilization of leadership theory in daily practice?
2. What personal characteristics are associated with the recognition and utilization of leadership theory in daily practice?
3. What transformations, if any, take place as the novice administrator moves from theoretical preparation to daily practice?
4. What is the association between the administrator’s perception of their actions, and the perceptions of professional associates?

The study used a qualitative multiple case study methodology to observe, interpret, and understand the reflective utilization of leadership theory in the daily practices of novice administrators. After conducting reflective interviews with the administrators, their respective superintendents, and staff members, and supplementing

these interviews with observations and documentation, the data was coded thematically in order to present interpretive narratives of the cases.

Benefits of this study serve two specific areas: the K-12 educational environment, and higher education preparation programs. By more fully understanding the realities of administration in the K-12 environment, better decisions may be made with regard to mentoring programs, teacher counseling, and school induction methods. Furthermore, this study may provide a new found respect for the burden of the K-12 principalship.

Secondly, this study has specific utility to the higher education arena, and most notably administrative preparation programs. Understanding the reflective use of leadership theory in the context of the busy and emotionally charged work environment lends perspective to the certification programs offered by many universities. Furthermore, the contextual understanding of the contemporary realities of the position have has the potential to add to the relevance of university coursework.

Summary Conclusions

The following section will address the central research question. The sub-questions will be analyzed in support of the central question.

Sub-Question 1

What contextual pressures are associated with the recognition and utilization of leadership theory in daily practice?

Faculty Experience

A significant contextual pressure in the novice administrators' transition from theory to practice was the staff environment. This not only was shown to affect the work load of the position, but also the ability to implement change and make emotional

connections within the organization. Two of the three cases reflected staff doubts about the ability of the novice administrator to handle the demands of the job. The other case presented a staff that was so used to administrative turnover that they effectively operated independently of their administration.

The emotional state of the staff also played a large role with respect to the administrators' utilization of leadership theory. Two of the cases witnessed extremely emotional events prior to the novice administrator taking the position. The emotional environment was often so intense upon acceptance of the position that a period of healing had to occur whereby the staff came to terms with the new leadership of the school as separate from the old. The two novice administrators who were hired from within the organization had a less difficult time with the administrative turnover, but it was an issue nonetheless. In both cases there was a sense that the novice administrator had been through the common experience on the side of the staff, and therefore held greater emotional credibility. The third case was still trying to come to terms with trust issues between the administration and staff.

Age

The age disparity between the novice administrators and their respective staff also played a role in their reflective leadership actions. The most pronounced factor in this respect was the more experienced staff sharing a sense of entitlement in both instruction and social hierarchy. Experienced teachers in all three cases were given less directive instructional leadership demands; in one case, these teachers had not even been formally evaluated. Secondly, the more experienced staff members often saw themselves as acting outside the bureaucratic hierarchy. One case demonstrated the ability of a specific staff

member to influence budgetary decisions; another case presented outright insubordination.

Budget

The influence of budgetary concerns also played a contextual role with regard to the reflective leadership actions of the administrators; this was due in part to the privacy of all three schools. All three administrators understood themselves as keeping a balance between what they considered a socially and economically diverse learning environment, and an elitist academic institution. As such, parental involvement played a large role in various leadership decisions. Though one administrator adamantly denied knowing the finances of individual families, the others did not. Parental involvement shifted the role of the novice administrator in all three cases toward business and political capacities.

Overload

Another influencing factor with regard to the external public was the amount of time spent on activities, sports, and other nuanced parental interests. All three administrators had cellular phones which were on at all times. These numbers were supplied to parents, and rang constantly both inside and outside the walls of the school. Two cases represented administrators who attended the majority of sports events, both at home and away. These two cases considered sports and activities an important and time consuming part of their job.

Service

The overwhelming burden of the position took its toll on all three cases both professionally and personally. Citing sports, activities, advisory council meetings, parent

conferences, and other service duties, all administrators put in hours well above what could be considered as full time employment.

Personal sacrifice on behalf of the position was evidenced in all three cases. All three administrators were married with young children. In two of the cases, concern was expressed by the staff specifically for the administrators' respective families. One case attributed the position to severe health effects which had forced him to see a physician and change his diet.

The role of service was considered to be useful as a holistic approach to the organization by all three administrators. Rather than a leadership copout, the role of servitude was considered to be a vehicle by which the administrator could affect change within the organization while sewing the seeds of trust, relationship development, and organizational vision. In other words, the role of service provided the time necessary to pursue these organizational goals.

Sub-Question 2

What personal characteristics are associated with the recognition and utilization of leadership theory in daily practice?

Previous Leadership Experience

Previous leadership experiences both inside and outside the field of education influenced the novice administrators' transition from theory to practice. Two of the three administrators had been previously employed in a leadership position outside of a school. There, they had learned skills such as crisis management, time management, business management, and sales. In both cases, these previous experiences were credited with preparing the administrators for the daily demands of their position.

Cognitive Style

Cognitive style, as measured by the Myers Briggs Typology Indicator (MBTI) (1998), was perhaps the determining personal characteristic with regard to the recognition and utilization of leadership theory in professional practice. Though there were no consistencies among the profiles of the chosen administrators, the cognitive style of each played a significant role in their respective environments.

Sub-Question 3

What transformations, if any, take place as the novice administrator moves from theoretical preparation to daily practice?

Control

The tendency to drift to a more controlling posture with the staff was a noted transformation that occurred as these administrators made the transition from theory to practice. Two cases presented the reader with a shift toward autocracy in their decision making. Autocratic management was partially attributed to the staff's comfort and trust in the administrator, but also to the time which it took in order to utilize participation, as noted by Schmidt et al. (1998).

The element of control was also manifested in an almost obsessive need to make sure that delegated responsibilities were handled correctly. Two administrators reflected serious apprehensions about the amount of responsibility they were to give their upcoming athletic directors. In both cases, the administrator decided to allow them control over parent interactions, but held on tightly to personnel decisions. Holding the ultimate responsibility for these actions was an influential factor in these actions.

Sub-Question 4

What is the association between the administrator's perception of their actions, and the perceptions of professional associates?

Participation

Two cases presented dichotomous findings with regard to the participatory nature of the administrator. In both cases, the administrator saw themselves as participatory leaders while members of the staff considered them to be controlling in their leadership actions. When confronted with this disconnect, one administrator admitted that he knew it was not the best way to proceed, but many times the situation left him no other option.

Central Question

How do novice administrators recognize and utilize leadership theory in their daily practice?

Novice administrators understand, reflect, and utilize theoretical concepts in their daily actions. The reflective utilization of these theories involves both perspective and action.

Conception of Social Systems

All cases demonstrated a conceptual understanding of the social network within schools. Though utilized to different extents, all three administrators understood the power and necessity of staff participation in the decision making process. This inclusion focused specifically on the more experienced members of the staff. Likewise, in all cases, administrators showed an understanding of the limits to participative decision making. Influenced by issues of staff trust, time, and responsibility, the administrators showed the ability to make a decision that needed to be acted upon.

Group Dynamics

The novice administrators also reflected an understanding of group dynamics as they pertain to organizations. All of the administrators understood the inevitability of negative staff members within their respective organizations. Two cases specifically referred to the certainty of some negative staff opinions, no matter the issue. The third approached this same idea through the articulation of the critical mass of faculty necessary to make change within a school.

Secondly, mention must be made about the administrators' sense for the health of their respective organizations. While this was not a tangible endeavor, it was certainly reflective. Two administrators spoke about the ease of sensing discomfort or antagonism of the staff. Like mechanics, these administrators had become adept at noticing parts (staff) that were not working, or working at less than capacity.

Instructional Leadership

All three administrators took a role of support with regard to their instructional leadership practice. This role was primarily chosen because of the professionalism of the faculty; however, there was also an admission in some instances that the more experienced faculty was unwilling to change existing instructional practices. The role of support was also noted as a motivational tool, whereby the administrators would use a classroom observation to engage the teacher in a conversation and reflect their appreciation and interest in the classroom environment.

Administrators also expressed explicit interest in the moral and cognitive development of their staff. Requisite for this approach was the stated understanding that individuals within the staff were at different levels with regard to educational preparation,

personal development, and professional development. This understanding was said to influence how administrators related to their staff on personal and professional levels.

Lastly, administrators consistently expressed a tone of regret when considering their ability to provide instructional leadership for the staff. In every case, time constraints were cited as the primary reason for this inability. Administrators noted increasing time commitments for activities, sports, planning, and other administrative duties as hampering their ability to act as instructional leaders. Moreover, this reality was portrayed in stark contrast to the idyllic vision for instructional leadership that many portrayed before assuming their position.

Transactional Leadership

While all three administrators articulated the desire to do favors for the staff on a professional level, they were also all aware of the interconnectedness between professional and personal transactions. Citing entry fees for a conference, an extra stipend for coaching, or even throwing a holiday party for employees, the administrators consistently made reference to these actions as building relationships or establishing a culture within the organization.

Transformational Leadership

Administrators showed a sincere dedication extending beyond the development of professional relationships. All used words such as “trust,” “respect,” and “care” to characterize their relationships with members of the staff. Furthermore, all administrators made a reflective attempt to nurture the personal aspects of their relationships within the organization. This personal comment manifested itself with respect to their advocacy for

teachers. With qualifiers such as student safety or illegality, the administrators all saw themselves as both personal and professional advocates for their staff.

The other theme to emerge with respect to transformational leadership was the lack of time to develop a consistent vision between the administration and staff. Though all administrators reflected on the importance of an organizational vision, staff acceptance remained just out of reach. Fueled oftentimes by mistakes made by the previous administration and skepticism by the staff, these administrators were faced with the task of rebuilding many broken bonds of trust. As a result, the provision of clear organizational vision was seen as lacking by staff members in every case. Often focusing on tasks rather than issues or visionary choices, these administrators had not yet been able to communicate and institutionalize a leadership vision that was understood by all. However, there was an expressed optimism on the part of both the administrator and staff that this vision, much like the bonds of trust and the process of change, would evolve over time.

Implications for Further Research

Due to the qualitative case study methodology, statements cannot be made regarding the generalizability of these findings in quantitative terms. However, this study has provided a model by which one might understand and evaluate contextual situations in both the past and future. That being said, the study has also raised more questions that it has answered with regard to the application of theory and practice, and the contextual position of the building administrator.

Using the findings from this study, researchers may be able to conduct more longitudinal studies using the same or a similar sample. Understanding the process of

establishing and reaching leadership goals within an organization would supplement many of the information gathered in this project. Furthermore, the passage of time would offer a perspective with which to reevaluate the reflective actions of a novice principal as opposed to those with more experience.

The role of service in the novice practice of school administration also represents an opportunity for supplemental study. This deserves attention not only because the theme was an important discovery in all three observed cases, but because very little literature has been devoted to this important finding. Studies which explore the role of service as it relates to relationship development, trust development, and the provision of time to pursue a collective organizational vision would add dimension to the findings of this study.

This study has also raised questions about the utility of within-school mentoring programs within the K-12 environment for novice administrators. Mentoring programs could mitigate some of the negative contextual issues involved with the transition from theory to practice, such as including skepticism of the staff, a more pronounced role with respect to instructional leadership, and the time to instill and develop an organizational vision.

Likewise, research regarding mentoring programs might also be approached from the perspective of higher education. Research could focus on the utility and effectiveness of required fieldwork programs, or the correlation between extended internships and professional success.

Lastly, this study has raised questions regarding the factors involving administrative longevity. As this study has demonstrated the necessity of time in order to

apply leadership theory and instill organizational change, researchers might look for ways to extend the expected tenure for a building administrator. Considerations may involve the role of conflict resolution, mentor teachers, and/or mentor administrators.

Chapter 5 Summary and Postulations

This chapter framed the within and cross case analysis presented in Chapter 4, and applied these findings to the central research question and research sub-questions. The result has been a series of answers based on multiple perspectives and from multiple instances.

In addition to the re-contextualization of the thematic developments and answering the central research questions and sub-questions, effort has also been made to frame this study with regard to the implications it has presented for future research.

Perhaps the most enlightening aspect of this study was the assumed role of servitude demonstrated by all three novice administrators. This role was manifested in both the daily actions of the novice administrators and their posture toward instructional leadership within their respective schools. Notably, this theme was not predicted by any literature covered for the research, nor does it represent any significant portion of literature on novice school administration.

The implications of this finding are considerable to higher education preparation programs. While graduate schools in educational leadership have traditionally emphasized theoretical models of leadership in their coursework, findings from this study may prompt principal preparation programs to conduct circular audits in order to determine the role of service as well as strategies for the survival of novice administrators as they attempt to achieve administrative longevity.

It is important to note that the assumption of this role was not utilized merely to buy time at the helm of the school, or avoid the often unpleasant task of leadership. Rather, it represented a vehicle that novice administrators employed in order to advance longer term visionary goals. Service represented the most effective role the novice administrator could play with regard to holistic organizational development. Utilizing this strategy, the novice administrator was shown to affect organizational change while building the patterns of trust and communication necessary for future visionary leadership.

The findings of this study lead one to the conclusion that the position of a novice administrator is a difficult one. Hampered by ghosts of the past and overwhelmed by expectations of the future, these individuals are placed in the ultimate team-building role. Theoretical preparation has proved to provide many tools with which to face this difficult task. However, the process of engaging a professional staff is not a short-term endeavor. This study has shown that the goals of instructional leadership and the establishment of an organizational vision are operations that require time, the development of trust, and sincere commitment. Administrators in this study were shown to have developed two of these three necessities; the third, time, was being pursued through the utilization of service-oriented leadership.

This study sounds an alarm for K-12 schools across the country that have found themselves in the trap of the administrative turnover cycle. Graduates of higher education training programs enter the school arena prepared with requisite leadership theory, and this study had demonstrated that they are willing and able to use these tools effectively. However, the lesson learned is that successful school leadership requires not only the

application of theory, but the time, trust, and commitment to sew the seeds of long term organizational growth.

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Appendix A

Opening Statements

Interview Form: Opening Statements:

Date: _____, 2005	Time: _____ (am/ pm)	Male: _____	Female: _____
Subject Code: _____	Interview #: _____	Age: _____	
Years Experience: _____	Current Position: _____		

Opening Statements:

Thank you for taking the time to participate in this research study. Before we start, there are a few things I would like to make sure that you understand before we get started:

- I will be asking you some general questions and audio taping responses as we proceed.
- All information from this interview will be confidential. You will not be identified by name, location, or place of employment in this study or in any report from this study.
- You will only be identified by subject number in these notes. A confidential code will be used in the study to subsequently identify your responses.
- Your direct quotes will only be used with your permission. When quoted, all identifying information will be kept confidential.
- Your name and position will only be known by myself and Dr. Bill McCaw, the chair of this research report.
- All aforementioned confidentiality is protected by the Institutional Review Board of the University of Montana.
- Though I would prefer completing the interview before we break, you can take a break at any time, or leave the interview at any time.

Please be assured that I am only interested in your thoughts and opinions; there are no right or wrong answers in this interview. The intent of this interview is to understand your thoughts, feelings, and experiences, not to make any judgments on the responses.

Appendix B

Interview Form: Notes

Case Study: The Transition From Theory to Practice

Interview Code: _____ Date: _____ Page: _____ of _____

<u><i>Observer Notes:</i></u>	<u><i>Code:</i></u>	<u><i>Descriptive Data:</i></u>

Appendix C

Interview Questions

Teacher/ Superintendent Interview Questions:

1. What can you tell me about this administrator?
2. How would you characterize his leadership style?
3. What is the toughest part of his job?
4. What can you tell me about the context of the position?
5. Administrator turnover/ teacher attitudes?
6. What are his greatest strengths?
7. Would you consider this administrator reflective in his leadership actions?

Principal Interview Questions:

1. Observation and immediate member check/ informal questioning.

- “How did that feel?”
- “How do you think that went?”
- “Why did you approach the situation in this way?”

The tone during this questioning will be informal & open.

2. Daily incident/ situation debriefing. During these reflections, administrators will be asked to comment on the relative importance of the following in their professional practice:

- Knowledge of human growth & development.
- Knowledge of leadership theory.
- Understanding of group dynamics.
- Understanding of interpersonal relationships.
- Doing personal favors for the staff.

- Making his/her attitudes clear to the staff
- Doing little things to make it more pleasant to be in the group.
- Trying out new ideas with the staff.
- Ruling with an iron hand.
- Finding time to listen to staff members.
- Speaking in a manner not to be questioned.
- Keeping the staff informed.
- Acting without consulting the staff.
- Backing up the members in their actions.
- Being willing to make changes.
- Being friendly and approachable.
- Putting suggestions made by the group into operation.
- Letting other people take away his/her leadership.
- Getting approval in important matters before going ahead.

3. Exit interview.

- Before you stepped into this position, what did you expect?
- Do you utilize your theoretical administrative preparation in your everyday leadership actions?
 - How?
- How do you inspire organizational change?
- In what ways do you influence and motivate your staff?
- Do you see a difference between your urgent and important leadership activities?
 - If so, how do you balance the two?

- Has your conception of school leadership changed since you entered the profession?
 - How?
- How have you changed since you entered the position of principal?
 - How?
- Do you use theoretical models of leadership in your everyday actions?
 - How?
- Can you think of any specific situations in which you used theoretical knowledge gained in your preparation program to carry out your leadership duties?
 - In this situation, why did you resort to your preparation?
 - How did the situation resolve itself?
- Can you think of any specific situations in which you chose not to use knowledge gained in your preparation program to carry out your leadership duties?
 - In this situation, why didn't you resort to your preparation?
 - How did the situation resolve itself?
- Do you concern yourself with the personal development of teachers?
 - If so, how is this manifested in your daily leadership practices?
- Tell me about the ways in which you encourage the professional development of the staff.
 - Do you seek out the ideas, insights, and expertise of teachers in these areas?
 - Do you share responsibility for these decisions?
- Do you utilize an exchange of rewards for compliance in your leadership actions?

- Please describe your evaluation process for staff.
- How do you see your role with regard to professional development?
- What has been your most difficult supervision issue?

Appendix D.

Field Memo

FIELD MEMO

<u>Reference:</u>	
Date: _____	Interview Code: _____
	Subject Code: _____
	Interview Number: _____

<u>Emerging Categories:</u>	<u>Reflective Notes:</u>

Appendix E

Letter to Superintendents

Subject Address

David Hobbs
332 Roosevelt #9
Missoula, MT
59801

To whom it may concern:

The University of Montana has recently accepted a dissertation proposal entitled "From Theory to Practice: A Multiple Case Study on Novice Administrators." The purpose of this study is to further develop the understanding of the transition from theoretical administrative preparation programs to real-life school administration practices. Undoubtedly, it is of critical importance to the study that the subjects (a) have recently earned a Master's degree in Educational Administration, and (b) are in their first year as practicing administrators. As the Superintendent of ..., you oversee a perfect candidate for this research, ... and we would like him consider taking part in the study.

This research will provide a snapshot into the daily actions and demands on a novice building principal in the context of modern leadership theories. We hope to gain insight into the (spoken and unspoken) urgency, accountability, and leadership burden of his position. Data will be collected by David Hobbs, a Doctoral Candidate and Graduate Research Assistant at the University of Montana. It will be collected under the direction of Dr. William P. McCaw, Director of the Dept. of Educational Leadership & Counseling at The University of Montana. Data will be collected over the course of three days. It will consist of observations, communication records (e-mail, memos, documents, etc.), a review of university coursework, daily debriefing (with ...), interviews with teacher volunteers, a Myers-Briggs Type Indicator, and a brief semi-structured interview with you. Of course, all data regarding your school district, location, or the people involved will be completely confidential and protected under the guidelines of the University of Montana Institutional Review Board.

It is important to understand that the point of this study is not to make judgment on action, but rather understand the reality of the position. Furthermore, your participation in this study will not only support the development of improved preparation programs and lend insight into the practice of public school administration, but will also aid in his development as a reflective practitioner.

If you would like to participate, please indicate so on the form provided, and we will contact you with more details. If you have any questions, please do not hesitate to contact David Hobbs at (w) 406 243-5596, or (h) 406 544-3537.

Again, thank you for your time,
Sincerely,

David T. Hobbs

Appendix F

Letter to Principals

Subject Address

David Hobbs
332 Roosevelt #9
Missoula, MT
59801

To whom it may concern:

The University of Montana has recently accepted a dissertation proposal entitled "From Theory to Practice: A Multiple Case Study on Novice Administrators." The purpose of this study is to further develop the understanding of the transition from theoretical administrative preparation programs to real-life school administration practices. Undoubtedly, it is of critical importance to the study that the subjects (a) have recently earned a Master's degree in Educational Administration, and (b) are in their first year as practicing administrators. As the principal of ..., your location and administrative position make you a perfect candidate for this research, and we would like you consider taking part in the study.

This research will provide a snapshot into the daily actions and demands on a novice building principal in the context of modern leadership theories. We hope to gain insight into the (spoken and unspoken) urgency, accountability, and leadership burden of your position. Data will be collected by David Hobbs, a Doctoral Candidate and Graduate Research Assistant at the University of Montana. It will be collected under the direction of Dr. William P. McCaw, Director of the Dept. of Educational Leadership & Counseling at The University of Montana. Data will be collected over the course of three days, and will consist of observations, communication records (e-mail, memos, documents, etc.), a review of your university coursework, a Myers-Briggs Type Indicator, an administrative debriefing, an exit interview (with you), and voluntary faculty interviews. Of course, all data will be completely confidential and protected under the guidelines of the University of Montana Institutional Review Board. It is also important to understand that the point of this study is not to judge your actions, but rather understand the reality of your position.

Your participation in this study will not only support the development of improved preparation programs and lend insight into the practice of public school administration, but will also aid in your development as a reflective practitioner.

If you would like to participate, please indicate so on the form provided, and we will contact you with more details. If you have any questions, please do not hesitate to contact David Hobbs at (w) 406 243-5596, or (h) 406 544-3537.

Again, thank you for your time,
Sincerely,

David T. Hobbs

Appendix G

Teacher Consent Form

SUBJECT INFORMATION AND CONSENT FORM

TITLE: From Theory to Practice: A Multiple Case Study on Novice Administrators

PROJECT DIRECTOR(S):

David T. Hobbs
332 Roosevelt #9
Missoula, MT
59801

(406) 544-3537
David.Hobbs@mso.umt.edu

William P. McCaw
Director, Dept. of Educational Leadership
The University of Montana
ED 207

406-243-5395
Bill.McCaw@mso.umt.edu

Special instructions to the potential subject:

This consent form may contain words that are new to you. If you read any words that are not clear to you, please ask the person who gave you this form to explain them to you.

Purpose:

You are being asked to take part in a research study which will attempt to understand the utilization of leadership theory as it relates to beginning real-life leadership strategies of novice administrators. This study looks to gain an insight into the daily pressures, demands, and contextual factors involved in the realistic practice of school administration, and how these factors relate to grounded theoretical leadership strategies, as well as specific and contextual actions.

Procedures:

If you agree to take part in this research study you will be asked to provide data over the course of three days. Data collection will consist of observations, pertinent communication records (e-mail, memos, documents, etc.), and voluntary interviews. Of course, all data will be completely confidential and protected under the guidelines of the University of Montana Institutional Review Board. It is also important to understand that the point of this study is not to judge your actions, but rather understand the reality of your position.

The study will take place at your respective school.

Risks/Discomforts:

There are no anticipated risks or discomforts anticipated in this research project.

Benefits:

Your help with this study will not only provide contextual information on the reality of novice building administration, but will also assist mentoring and preparation programs at the K-12 and University level. Additionally, this study will aid in your development as a reflective practitioner.

Confidentiality:

Your records will be kept private and will not be released without your consent except as required by law. Only the researcher and his faculty supervisor will have access to the files. Your identity will be kept confidential. If the results of this study are written in a scientific journal or presented at a scientific meeting, your name will not be used. The data will be stored in a locked file cabinet. Your signed consent form will be stored in a cabinet separate from the data. The interview audiotape will be transcribed without any information that could identify you. The tape will then be erased.

Compensation for Injury

Although we do not foresee any risk in taking part in this study, the following liability statement is required in all University of Montana consent forms:

In the event that you are injured as a result of this research you should individually seek appropriate medical treatment. If the injury is caused by the negligence of the University or any of its employees, you may be entitled to reimbursement or compensation pursuant to the Comprehensive State Insurance Plan established by the Department of Administration under the authority of M.C.A., Title 2, Chapter 9. In the event of a claim for such injury, further information may be obtained from the University's Claims representative or University Legal Counsel.

Voluntary Participation/Withdrawal:

Your decision to take part in this research study is entirely voluntary. You may refuse to take part in or you may withdraw from the study at any time without penalty or loss of benefits to which you are normally entitled.

You may be asked to leave the study for any of the following reasons:

1. Failure to follow the Project Director's instructions;
2. A serious adverse reaction which may require evaluation;
3. The Project Director thinks it is in the best interest of your health and welfare; or
4. The study is terminated.

Questions:

You may wish to discuss this with others before you agree to take part in this study. If you have any questions about the research now or during the study contact:

David T. Hobbs
332 Roosevelt #9
Missoula, MT
59801
(406) 544-3537
David.hobbs@mso.umt.edu

* If you have any questions regarding your rights as a research subject, you may contact the Chair of the IRB through The University of Montana Research Office at 243-6670.

Subject's Statement of Consent:

I have read the above description of this research study. I have been informed of the risks and benefits involved, and all my questions have been answered to my satisfaction. Furthermore, I have been assured that any future questions I may have will also be answered by a member of the research team. I voluntarily agree to take part in this study. I understand I will receive a copy of this consent form.

Printed (Typed) Name of Subject

Subject's Signature

Date

Appendix H

Principal Consent Form

SUBJECT INFORMATION AND CONSENT FORM

TITLE: From Theory to Practice: A Multiple Case Study on Novice Administrators

PROJECT DIRECTOR(S):

David T. Hobbs
332 Roosevelt #9
Missoula, MT
59801
(406) 544-3537
David.Hobbs@mso.umt.edu

William P. McCaw
Director, Dept. of Educational Leadership
The University of Montana
ED 207
406-243-5395
Bill.McCaw@mso.umt.edu

Special instructions to the potential subject:

This consent form may contain words that are new to you. If you read any words that are not clear to you, please ask the person who gave you this form to explain them to you.

Purpose:

You are being asked to take part in a research study which will attempt to understand the utilization of leadership theory as it relates to beginning real-life leadership strategies of novice administrators. This study looks to gain an insight into the daily pressures, demands, and contextual factors involved in the realistic practice of school administration, and how these factors relate to grounded theoretical leadership strategies, as well as specific and contextual actions.

Procedures:

If you agree to take part in this research study you will be asked to provide data over the course of three days. Data collection will consist of observations, pertinent communication records (e-mail, memos, documents, etc.), a review of your university coursework, a Myers-Briggs Type Indicator, administrative debriefing, an exit interview (with you), and voluntary faculty interviews. Of course, all data will be completely confidential and protected under the guidelines of the University of Montana Institutional Review Board. It is also important to understand that the point of this study is not to judge your actions, but rather understand the reality of your position.

The study will take place at your respective school.

Risks/Discomforts:

There are no anticipated risks or discomforts anticipated in this research project.

Benefits:

Your help with this study will not only provide contextual information on the reality of novice building administration, but will also assist mentoring and preparation programs at the K-12 and University level. Additionally, this study will aid in your development as a reflective practitioner.

Confidentiality:

Your records will be kept private and will not be released without your consent except as required by law. Only the researcher and his faculty supervisor will have access to the files. Your identity will be kept confidential. If the results of this study are written in a scientific journal or presented at a scientific meeting, your name will not be used. The data will be stored in a locked file cabinet. Your signed consent form will be stored in a cabinet separate from the data. The interview audiotape will be transcribed without any information that could identify you. The tape will then be erased.

Compensation for Injury

Although we do not foresee any risk in taking part in this study, the following liability statement is required in all University of Montana consent forms:

In the event that you are injured as a result of this research you should individually seek appropriate medical treatment. If the injury is caused by the negligence of the University or any of its employees, you may be entitled to reimbursement or compensation pursuant to the Comprehensive State Insurance Plan established by the Department of Administration under the authority of M.C.A., Title 2, Chapter 9. In the event of a claim for such injury, further information may be obtained from the University's Claims representative or University Legal Counsel.

Voluntary Participation/Withdrawal:

Your decision to take part in this research study is entirely voluntary. You may refuse to take part in or you may withdraw from the study at any time without penalty or loss of benefits to which you are normally entitled.

You may be asked to leave the study for any of the following reasons:

1. Failure to follow the Project Director's instructions;
2. A serious adverse reaction which may require evaluation;
3. The Project Director thinks it is in the best interest of your health and welfare; or
4. The study is terminated.

Questions:

You may wish to discuss this with others before you agree to take part in this study. If you have any questions about the research now or during the study contact:

David T. Hobbs
332 Roosevelt #9
Missoula, MT
59801
(406) 544-3537
David.hobbs@mso.umt.edu

* If you have any questions regarding your rights as a research subject, you may contact the Chair of the IRB through The University of Montana Research Office at 243-6670.

Subject's Statement of Consent:

I have read the above description of this research study. I have been informed of the risks and benefits involved, and all my questions have been answered to my satisfaction. Furthermore, I have been assured that any future questions I may have will also be answered by a member of the research team. I voluntarily agree to take part in this study. I understand I will receive a copy of this consent form.

Printed (Typed) Name of Subject

Subject's Signature

Date

Appendix I

Superintendent Consent Form

SUBJECT INFORMATION AND CONSENT FORM

TITLE: From Theory to Practice: A Multiple Case Study on Novice Administrators

PROJECT DIRECTOR(S):

David T. Hobbs
332 Roosevelt #9
Missoula, MT
59801
(406) 544-3537
David.Hobbs@mso.umt.edu

William P. McCaw
Director, Dept. of Educational Leadership
The University of Montana
ED 207
406-243-5395
Bill.McCaw@mso.umt.edu

Special instructions to the potential subject:

This consent form may contain words that are new to you. If you read any words that are not clear to you, please ask the person who gave you this form to explain them to you.

Purpose:

You are being asked to take part in a research study which will attempt to understand the utilization of leadership theory as it relates to beginning real-life leadership strategies of novice administrators. This study looks to gain an insight into the daily pressures, demands, and contextual factors involved in the realistic practice of school administration, and how these factors relate to grounded theoretical leadership strategies, as well as specific and contextual actions.

Procedures:

If you agree to take part in this research study you will be asked to provide data over the course of three days. Data collection will consist of observations, pertinent communication records (e-mail, memos, documents, etc.), and a voluntary interview. Of course, all data will be completely confidential and protected under the guidelines of the University of Montana Institutional Review Board. It is also important to understand that the point of this study is not to judge your actions, but rather understand the reality of your position.

The study will take place at your respective school.

Risks/Discomforts:

There are no anticipated risks or discomforts anticipated in this research project.

Benefits:

Your help with this study will not only provide contextual information on the reality of novice building administration, but will also assist mentoring and preparation programs at the K-12 and University level. Additionally, this study will aid in your development as a reflective practitioner.

Confidentiality:

Your records will be kept private and will not be released without your consent except as required by law. Only the researcher and his faculty supervisor will have access to the files. Your identity will be kept confidential. If the results of this study are written in a scientific journal or presented at a scientific meeting, your name will not be used. The data will be stored in a locked file cabinet. Your signed consent form will be stored in a cabinet separate from the data. The interview audiotape will be transcribed without any information that could identify you. The tape will then be erased.

Compensation for Injury

Although we do not foresee any risk in taking part in this study, the following liability statement is required in all University of Montana consent forms:

In the event that you are injured as a result of this research you should individually seek appropriate medical treatment. If the injury is caused by the negligence of the University or any of its employees, you may be entitled to reimbursement or compensation pursuant to the Comprehensive State Insurance Plan established by the Department of Administration under the authority of M.C.A., Title 2, Chapter 9. In the event of a claim for such injury, further information may be obtained from the University's Claims representative or University Legal Counsel.

Voluntary Participation/Withdrawal:

Your decision to take part in this research study is entirely voluntary. You may refuse to take part in or you may withdraw from the study at any time without penalty or loss of benefits to which you are normally entitled.

You may be asked to leave the study for any of the following reasons:

1. Failure to follow the Project Director's instructions;
2. A serious adverse reaction which may require evaluation;
3. The Project Director thinks it is in the best interest of your health and welfare; or
4. The study is terminated.

Questions:

You may wish to discuss this with others before you agree to take part in this study. If you have any questions about the research now or during the study contact:

David T. Hobbs
332 Roosevelt #9

Missoula, MT
59801
(406) 544-3537
David.hobbs@mso.umt.edu

* If you have any questions regarding your rights as a research subject, you may contact the Chair of the IRB through The University of Montana Research Office at 243-6670.

Subject's Statement of Consent:

I have read the above description of this research study. I have been informed of the risks and benefits involved, and all my questions have been answered to my satisfaction. Furthermore, I have been assured that any future questions I may have will also be answered by a member of the research team. I voluntarily agree to take part in this study. I understand I will receive a copy of this consent form.

Printed (Typed) Name of Subject

Subject's Signature

Date